

A CONCEPT OF MANAGEMENT
DEVELOPMENT:
APPLICATIONS FOR A HEALTH CENTER

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PART I. INTRODUCTION, NATURE, AND SCOPE OF THE PROBLEM

CHAPTER I

INTRODUCTION

The Problem

The purpose of this project is to design criteria for a development program that will have application, in general, to all management personnel, and, specifically, application to management personnel of hospitals and health related institutions. The approach to be suggested is conceived to be applicable to all levels in the hospital organizational hierarchy and to both medical and non-medical personnel in supervisory positions. Indeed, it has been concluded that to the extent that all levels and all groups are not included, the value of the proposed program would have reduced effectiveness.

The Nature and Scope of the Problem

Health care has received increased attention in recent years and it is to be expected this trend will continue in the future. The implications for the need of a healthy population are obvious. Research has provided

greater means to prevent and cure disease, increasingly widespread education has provided greater numbers of qualified people in the various medical and parimedical professions, a more affluent society is better able to support more adequate health services, and a better informed public is demanding more prompt and expert treatment.

Impact of hospitals.—As would be expected, the growth in the number of hospitals and hospital employees has been steady. In 1963, there were 7,138 hospitals in the United States with 1,840,000 full-time employees (Hospitals, 1964, p. 469), ranking hospitals fourth in employing industries in the United States. Significantly, since 1946, employment in hospitals has more than doubled. Between 1953 and 1958, hospitals were responsible for 25 per cent of the net increase in the total labor force in this country. Approximately 2.5 per cent of all employed in the United States work in hospitals (Hospitals, 1962, p. 414). Employees include a broad spectrum of skills and educational backgrounds ranging from the unskilled janitor and maid, through the skilled technician, to the highly skilled surgeon. Two-thirds of hospital employees are directly involved with patient care. In 1963, 100 million outpatients and 26 million inpatients received hospital care. Of total hospital expenditures amounting to nearly eleven billion dollars, approximately two-thirds are allocated to employee

salaries and wages, and the percentage for employee compensation continues to rise.

Of all hospitals, the greatest number are classified as short-term general hospitals; of this group, nearly 60 per cent have fewer than 100 beds, while only about 2.5 per cent have over 500 beds. With an average of 2.18 to 2.53 employees per bed, the majority of hospitals employ fewer than 250 employees and few of the larger hospitals would exceed 1200 to 1500 employees.

The hospital as an institution

Brown (1961) points out that the present-day hospital is more than a place set aside for curing the ill and injured. It may also be one or more of the following:

1. An Economic Enterprise. The average hospital employs approximately one of every 50 employees of the community in which it is located. Its payroll and purchasing power have created a significant impact on the community. Hospital administration must be aware of the importance of budgets and costs in managing their institution.
2. A Professional Enterprise. Many decisions are made for the hospital by those who are not a part of the hospital itself. Typically, about twenty professions are represented in a medium-sized hospital, each with a national organization. Often it is the profession that can best evaluate its members. (This does not necessarily mean that the professional organization can always best judge the total situation.)
3. An Educational Enterprise. There are approximately 250,000 full time students participating in formal education in hospitals in the United States. To provide this education costs the nation's hospitals \$200,000,000 annually.

4. A Social Enterprise. The hospital, unlike most social agencies, sells its services. The hospital, in creating its services, is productive. Regardless of the individual's ability to pay, the hospital is expected to serve all who need its aid. However, the hospital administration must not confuse the concept of "non-profit" hospital with a lack of financial responsibility.

5. A Religious Enterprise. One-fourth of the nation's hospitals have a formal chaplaincy program, and, what is more significant, one-third of all persons seeking hospital care are admitted to church-owned institutions.

6. A Research Enterprise. Hospitals have the skilled personnel and are rapidly increasing their ownership of facilities for research. Presently, about one-half billion dollars is being spent for research in hospitals.

7. A Community Enterprise. Hospitals exist as a response to the community's desire to provide its citizens with a full range of medical service. For any given community, the hospital can be a symbol of civic concern and accomplishment. In fact, the hospital in some instances may be a symbol of community ambition.

8. A Public Enterprise. Typically, the hospital is under local control and enjoys a certain amount of local autonomy. This public aspect is limited, expanded, confused, or supported by the quality and quantity of third party financing and regulation provided by state and federal governments and by private medical plans.

If the hospitals are valuable and their increased contributions are to be encouraged and management plays the vital role to organize and motivate for hospital success, it may be concluded that the greatest single contribution that can be made to further this goal would be to contribute to more effective hospital management. The problem is to find what knowledge and attitudes the manager is to possess to be the most effective, and to find the most efficient methods by which the knowledge can be learned and the attitudes developed.

The Hypothesis

The hypothesis upon which this study is based is twofold:

1. There is one basic manager pattern of behavior that is most appropriate for organizational effectiveness.
2. This pattern of behavior can be learned through a proper program of management development.

The Methodology

It would be fairly convenient, and it is believed fairly satisfactory, to develop a management training program based on outlines of programs now in use by a number of organizations in and out of the hospital field. However, it is also believed that much of this material is based more on a "me-too" philosophy and less on a well-considered, systematic development of a comprehensive program to meet specific needs of a given institution. It is believed that there are universals of effective organization structure and management behavior. To this extent, all well-conceived programs will have elements similar to all other programs. Any manager receiving a general program of this nature would be expected to benefit regardless of the organization or his position in the organization. However, each type of organization and each individual is unique in various ways. Of considerable importance are variables such as the personality of the leader, the personalities of the

subordinates, the organization structure, the organization goals, the historic background and development of the organization, and the publics with which the organization must deal.

There is considerable discussion in the literature related to content of specific program in management development, of which representative examples will be presented. It is believed that little of a permanent nature is gained by a "one-shot" approach. Training and development, to be effective, must be continuous. Also, there appears to be an assumption by many that a program can be directed solely to one group of managers - usually lower level management - and thereby solve most, if not all, management problems. More comprehensive evidence indicates that for management training to be effective, all managers at all levels in the organization must participate. A lower level manager has little opportunity to practice newly learned knowledge which lacks higher management support. Further, at each management level, those trained in a class situation need instruction and guidance from their immediate superiors. Management training must be interpreted in terms of behavior. Leadership behavior may be considered as a skill and, thus, management training may logically be expected to require practice for learning, as is required for any skill. Training involves learning; therefore, the most effective forms

of learning require the application of material through practice. In addition, management training cannot be considered as separate from the manager's on-the-job duties. Training must relate to the role of the manager. Management development requires more than a management training program. It requires continuous development and self development. Finally, as a guide for training and on-the-job behavior and as a measure of training effectiveness, a well-conceived program requires some method or methods of measurement.

Emphasis on Leadership rather than on the Functions of Management is believed to be the key area of attention. This is not to indicate a lesser importance of Functions, but it is believed that concentration on Leadership behavior will lead directly to more effective overall practices of the manager.

Sources of Information

Based upon the stated hypothesis, a thorough search of the literature is of value in beginning a study for the proposed program. Books and articles in the fields of philosophy, management, organization, leadership, and learning theory, presented by educators, researchers, and practicing managers are of considerable value. Articles on the philosophy of management and theories of learning,

expressions of beliefs and experiences of the practicing manager, and results of leadership and organization studies both in the laboratory setting and on-the-job, all contribute to the development of an effective program.

Interviews with practicing managers, especially in the hospital field, are of value. In addition to this writer's interviewing for earlier studies and interviews for this study, a considerable amount of "interviewing" has been accomplished by others which is found in the literature.

Contacts with those having experience in management development, such as universities with active management development programs, management consulting firms, testing services, and businesses, industries, hospitals, and their associations, provide much information. Unfortunately, most of these organizations are reluctant to share their experiences and knowledge with others. Even those who publish extensively have limited the exactness of their reporting to such an extent that it would be difficult for the reader to take any one article or series of articles and duplicate the training programs with any assurance of exactness. On close examination, there tends to be a vagueness of content, presentation, measurement, etc. However, even here one is able to detect certain patterns. Based on known effectiveness of certain programs or on known success of organizations utilizing certain programs, the

reader is able, indirectly, to make evaluations of their probable effectiveness. It is to the extensive literature that major emphasis will be made in preparing the recommendations to be presented.

The Plan of Study

In support of the stated hypothesis for the development of the management development program, the procedure to be used will be to consider each of the following areas:

1. Philosophy of Management: Accepting that any particular management pattern will be successful only to the extent that it is compatible with the philosophy of the leader, his subordinates, and the publics with whom they come in contact, this philosophy, or these philosophies, must be understood. In the United States, most individuals have their attitudes and norms shaped by the general philosophy of the Western tradition. This philosophy will be considered as it relates to management in general and to hospital management in particular.

2. Leadership Patterns: Having established the philosophy in which the manager is to operate, the next step is to find what leadership pattern, or which leadership patterns, are the most successful. This will be attempted by reviewing the literature related to studies of leadership behavior of various types to find which is the most successful under a variety of situations. From this, a better decision can be made as to what type of leadership is to be learned and then applied on the job by the manager.

3. Learning Theory: It is not sufficient to be able merely to tell the manager what form of leadership behavior is the most successful. Training of the manager needs to be efficient in any organization where time and manpower are an expense; time and manpower are especially critical in the hospital where their uses are related to the reduction of pain and the treatment of the ill and injured. A study will be made of theories and techniques of learning in an attempt to find those methods most efficient in relating what is known about leadership to the manager who is to practice leadership.

4. Training Programs. With the volume of material written about management training programs in and out of the hospital field, it is appropriate to review what types of programs have been conducted. The review will be concerned with such factors as: course content, methods of instruction, student selection, instructor selection, training facilities, and results of the training. From this review, it is believed that various patterns of successful and unsuccessful training programs will be found. The successful forms can be combined and related to the specific problems of the hospital. All programs can be related to the philosophy of management, leadership patterns, and learning theory.

5. A Management Development Program for the Hospital: Following the above analysis, one will be able to derive, if not the ultimate in a training program for managers, at least a training program with a high probability of success. Such a program would relate to demands and expectations of society, to the needs and attitudes of the clientele served, to the hospital employees, and to the managers as the focus of attention.

Having arrived at the most effective methods of leadership and the most effective technique of teaching these methods, the challenge is to adapt them to a management program. In its broadest concepts, the basic approach would be applicable to all organizations; specifically, an exact program of management development will be suggested for all management personnel in the hospital.

Final interpretation and evaluation is left for the writer. It is believed that the reader - the administrator or training director who will use this program as a guide - will also need to adapt suggestions made to his specific organization with its unique needs. The value will be that the program presented will provide more guidance and will be devised on a more firm foundation than has been found in the literature.

CHAPTER II

NATURE AND SCOPE OF THE PROBLEM: THE HOSPITAL

Before a meaningful management development program can be suggested an appreciation and understanding of the hospital as an institution and of the hospital manager as a guiding influence must be established. That is the purpose of this and the following chapter.

Historical Development of Hospitals

Early beginnings.—To fully appreciate the hospital as it is today, it is of value to consider, briefly, the historical development of the hospital. Understandably, the hospital is a product of its background as well as of its current environment. The following discussion is drawn heavily from Rosen (1963), although the major points are found included in most reviews of hospital history.

"Medicine" in some form has been practiced in all cultures for all of recorded time. However, the first attempts toward hospitals in any form approximating present day concepts, began, in the Western world, during the third and fourth centuries under Roman influence. During medieval times, hospitals were founded for religious and social

reasons. Often travelers, especially the ill, sought monasteries as shelter. The resident monks became the medical practitioners, and their herb gardens their source of medication. By the end of the 15th century, Europe was "covered with a network" of hospitals financed through charity - alms, endowments, legacies, donations, and offerings. Patrons of these institutions acted much as the present-day hospital Board of Trustees, appointing the administrator, establishing rules, often administering discipline, and, in some cases, selecting clientele. By the end of the middle ages, many of these institutions had developed into institutions resembling present-day nursing homes - boarding homes for the aged.

Changing philosophy and practices

In 1311, Pope Clement V established more exacting controls over the religious "hospitals" by requiring that the administrator swear to honest administration and requiring him to provide financial statements to the local bishop. Beginning with the 13th century, hospitals came more under secular control but continued to employ religious workers.

During this earlier period, there was an underlying philosophy motivating care of the sick. Service was seen as providing the greatest good to the giver - both for the patrons and the religious servant. That is, the sick

provided the religious an opportunity to serve God through administering medical assistance. Gradually, changes evolved. Less emphasis was placed on the donor and more emphasis on the receiver - the sick. The trend was gradually away from the hospital as a charitable institution to the hospital as an organized agency of public assistance. However, the charitable concept continued to be strong even to the end of the 19th century with much of the same philosophy remaining today. It has been the history of hospitals that government has eventually taken over where private action began. Society began to discover that patients who received no medical attention remained longer in hospitals. In response to this recognition, from the 14th century on, physicians were found to be more closely associated with hospitals.

The 16th and 17th centuries marked the introduction of the application of science to medical care. Much research, study, and application was financed through foundation grants. The 18th century middle class, generally, desired order, efficiency, and discipline, and held an increasing concern for man's well being. Such attitudes naturally carried over to concern for community institutions - including hospitals.

Colonial United States was behind Europe in medical services. The first successful general hospital in the New

World was founded in Philadelphia in 1751. New middle class norms changed emphasis from purely medical considerations to social considerations; it became the goal not merely to relieve suffering, but to cure and to return the sick to a productive life - sickness was unproductive. In line with this concept, the chronic, incurable, and terminal patient was generally not acceptable in hospitals. They were placed in separate institutions. This approach was closely in line with much present-day practice; the voluntary hospital accepts acute, short term patients and separate institutions are provided for those with chronic and incurable diseases.

As the trend in medical care changed from charitable to social considerations, other factors entered into the hospital organization. By the late 1800's, the number of hospitals increased as the number receiving medical training increased. Nurses became more competent through improved training. Beginning with the turn of the present century, greater numbers of parimedical professions entered the hospital. Today, the hospital has become the physicians' workshop. The current trend is for the hospital to become the community health center with greater responsibilities and affecting a greater number of citizens in more and more situations.

As late as the 1850's, the financially independent when ill predominately remained at home for treatment, even for operations; the poor feared the hospital as a death sentence. The 1920's have been identified as a major turning point in the public's attitude toward hospitals. Over the preceding years there had been a great decrease in hospital mortality rates as new techniques, improved anti-septics, and more effective infection control procedures were introduced. People, increasingly, saw the hospital as personally valuable. Increased popularity of hospitals created increased demand for still more services. New specialty fields were embraced, not all considered purely medical, such as the use of social workers, nutritionists, and accountants. This increased complexity has brought increased cost. Recently, there has been even more complexity and change due to greater emphasis on hospital administration, prepaid medical plans, still greater public interest in hospital care, and the increased role of government.

The present situation

Querido (1962) points out that "the hospital evolves in a given society as a result of the interplay of forces which are active in that society...determined by the level of culture and of thought and by economic, social and technical conditions existing at a given time." At present

he finds the major trends to be:

1. A change in emphasis from bed space to work space.
2. Differentiation between medical and nursing services.
3. A change from differentiation according to medical specialism to differentiation according to requirements of the patient.
4. Disappearance of class differentiation between hospital users - the patients.

The hospital of today - and even more the hospital of the future - is seen as a central point where "through new concepts of medicine, the art and science of healing [will evolve as] a whole new image....Based on...love through service and strength through knowledge, a hospital is no longer a place of despair and agony, but a fortress of hope and a temple of dedication....It is our community monument of the Brotherhood of Man" (Landry, 1963).

The new setting has created a situation in which the doctor requires the hospital as a place of work and the hospital would be unrecognizable as it is now known without the physician. The increasing reliance of the doctor on the hospital and the increasing role of relatively new services and specialists have added to the complexity of hospital operation and have required many controls and an amount of teamwork that many find unwanted. However, all intimately involved with hospital operation have found an increasing need for administrative efficiency, rationality, productivity, and accountability.

Complexity of the Hospital

Power structure

Hospitals have been the object of a considerable number of studies embracing all groups in the hospital including the patient. Perrow (1963) has studied the power structure at the top levels in the hospital hierarchy. The subject of the study was a 300-bed "representative hospital." The author accepted the hypothesis that, in the long run, an organization will be controlled by individuals or groups of individuals who perform the most difficult and critical tasks. The characteristics of the dominant group - such as social background, career, ideology, personal interests, etc. - will determine the major operating policies and goals of the organization. The three groups found to have the greatest power in the hospital are: the board of trustees who control capital investment and community acceptance; the physicians who control the increased complexity and important critical skills; and the administrator who controls the increased complexity of activities and is involved in increased contacts outside the hospital.

In earlier developmental periods, the formal position of the administrator was one of a passive lieutenant who kept records and supervised plant operations and maintenance. In the past, administrators typically possessed a background in either nursing, management of a hospital department,

management in a business enterprise, or experience in voluntary organizations. More recently, the administrator has introduced himself as a coordinator between trustees and physicians. There has been increased respect for his functions; therefore, the administrator has gained increased authority and prestige.

Because of the three major power groups, the concept of multiple leadership is seen as a probable consequence. Perrow sees this as creating a situation in which the organization is less able to pursue long term goals. Further, an organization with multiple leadership, to be stable, is likely to exist only when there are multiple goals which lack precise criteria of achievement and where there is considerable tolerance with regard to achievement. Accommodating all power interests can lead to: organization drift, ambiguity of purpose, and opportunism. With multiple leadership, there is a need for some sort of facilitating leadership that keeps "explosive issues" from erupting too often, and maintains compatible relations between the parties.

Smith (1955) finds that "basically, a hospital may be conceived as an organization at cross-purposes with itself," because of the dual authority role between the hospital's formal supervisory hierarchy and the impact on the hospital by the physician. The doctor is able to exert

pressure at all levels in the hospital. This is found to be especially true in areas that are typically not clearly defined between administration and medical, such as pharmacy, pathology, X-ray, patient admissions, and medical records. It is a situation where "professional competence [of the physician] is exercised in a matrix of lay administration." The physician, armed with charismatic authority, defined as the "gift of grace," is "defiant" of administrative regulation. An inherent conflict often results between lay scalar status and functional status. Employees are caught in a conflict situation because they receive orders from both. Smith sees the hospital possessed with opposing values or symbols - money advocated by the administration as part of its business orientation, and service which is the physician's major goal. (There may be those who would choose to argue with this differentiation; many, including administrative personnel, have been attracted to hospital work because of the desire for service, while some physicians, correctly or incorrectly, have been accused of being more interested in personal financial gain than in providing patient care.) As viewed by Smith, the conflict can be further complicated in those situations where some individuals and departments exploit the system by working the administrator against the physicians. There "may be no ideal solution to this kind of problem...[but] administrators who understand

this are better equipped to deal with the strains of their organizations."

Increased demands on the manager

Whistler (1964) sees additional changes involving the administrator and others in the hospital. The introduction of electronic computers for application to operational problem-solving is seen as tending to decrease the layers in the organization and leading to more centralization. There is greater development and application of management practices by the use of operations research, mathematics, and statistics. Finally, there is greater insight into the nature and functions of organizations through organization theory. The Western concept of the value of education and research has led to a more educated, critical, and mobile society with whom the administrator must deal. Organizations that not only generate change but adapt to change when required are seen as those which will most effectively survive. As part of the challenge, and as required by the situation, [Whistler (p. 55)] is "increasingly convinced that management training must continue throughout the career of the executive" if he is not only to keep up but to lead in the changes.

There is an increased demand for medical care by the citizen for himself and for his fellow citizens. Hospitals have to adjust to a broadening role. Some of these demands

are (Klumpp, 1959): increased interest in preventive medicine, studies of environmental control, the addition of more services as the out-patient clinics, diagnostic facilities, research activities, long term care, rehabilitation, and home care. Increased demands have created a greater need for effective coordination with other community health agencies outside the hospital. Many believe that the hospital of the near future will be a health complex, that is, a hospital with more than one roof, each unit providing separate, specialized services.

Management of change

As society has changed, hospitals and the roles of the administrator and subordinate managers have been forced to change. The administrator's role has been brought about partly by changes outside his control, but more recently he has been the motive force behind much of the change. He has helped change the hospital, and, thereby, changed attitudes toward the hospital by those in and outside the hospital. In the recent past, "almost exclusively, the concern of superintendents [administrators] was with the internal activities and process of the hospital. They dealt with what would be regarded today as simple problems in a simple organization" (Bachmeyer, 1963). As in industry, the hospital field has experienced changing concepts concerning delegation, formalized reporting systems, individual

development, and interest in the activities of other hospitals.

Importance of the manager

The importance of the role of the administrator is well stated by Dressel (1963): "Perhaps the single most important decision made by the hospital trustee is the selection of a new administrator."

There are certain aspects of the management position that appear to be common to all formal organizations, including the hospital (Davis, 1960). The effectiveness of leadership depends on the ability to: recognize the nature of the situation, evaluate the significance and requirements of the situation, face the facts concerning whatever factors are operating to create the situation, and follow the course of action dictated. The role of leadership is the exercise of that combination of personal qualities which influences people to cooperate toward some common goal because they find it desirable to do so.

Leadership can logically be seen as separate from the "functions" of management, although understanding and practice of both are mandatory for effective management. It is for the leader to establish and interpret the organizational objectives. Objectives are interpreted in terms of satisfaction of needs or desires.

Functions in the hospital

For the hospital, the objectives may logically be seen as: relief from disability, encouragement and maintenance of morale, medical care for speedy recovery, pleasant environment, cost compatible with ability to pay, etc. In sum, the major objective of the hospital is to provide "Quality Patient Care." To this end, the major hospital organizational functions are: diagnosis, advice, prescription, application of medical procedures, direction of nurses and medical technicians, and related medical activities. In support of these activities, hospital management is responsible for the functions of: general administration of nursing services, general supervision of medical facilitating service, general supervision of non-medical services, operation of the hospital plant, personnel services, accounting and financial functions, etc. Therefore, the challenges of the manager are both personal and organizational.

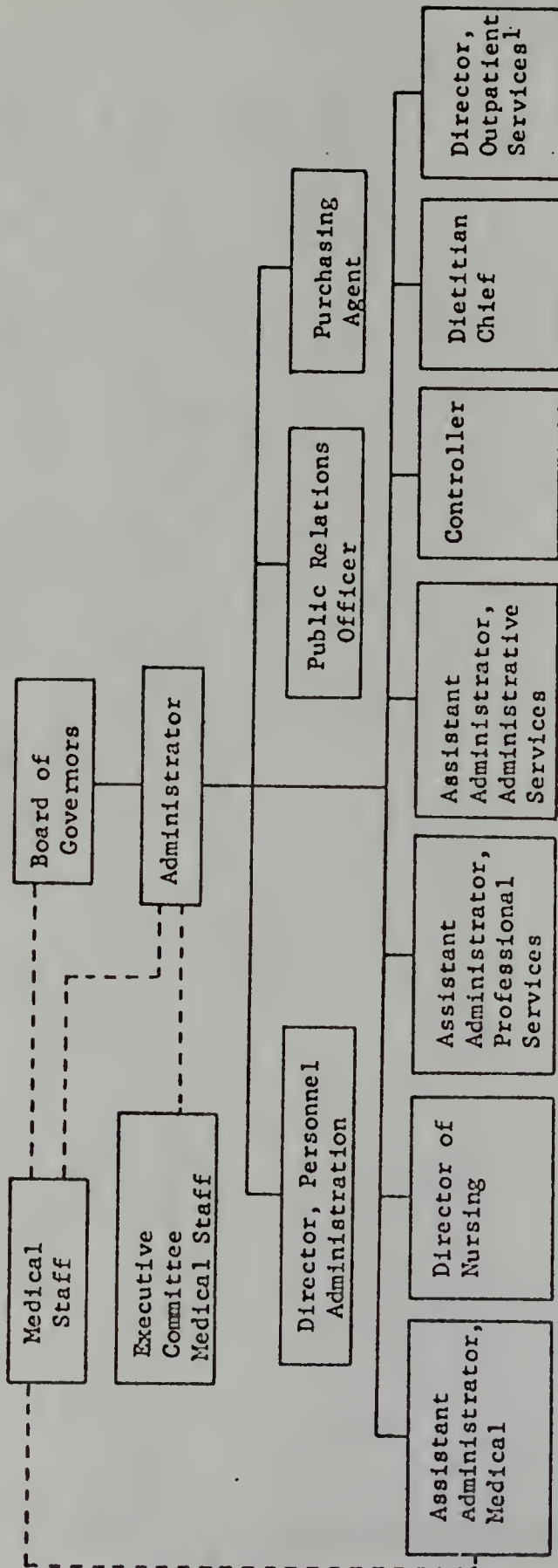
Hospital organization

The following charts (Chart 2-1 - Chart 2-8) show a hypothetical hospital organization. These charts are a composite taken from a study made by the U.S. Employment Service in cooperation with the American Hospital Association (United States Department of Labor, 1952).

In reviewing this organization, one may question certain decisions of organizational structure, and those

Chart 2-1

Hospital Administration and Medical Staff



1 "The organization of outpatient department parallels that of the hospital as a whole. . . For that reason an organization chart has not been prepared."

Source: United States Department of Labor, U. S. Employment Service. Job Descriptions and Organizational Analysis for Hospitals and Health Related Services. Wash., D.C.: U. S. Govt. Print. Off., 1952.

Hospital Staff Positions

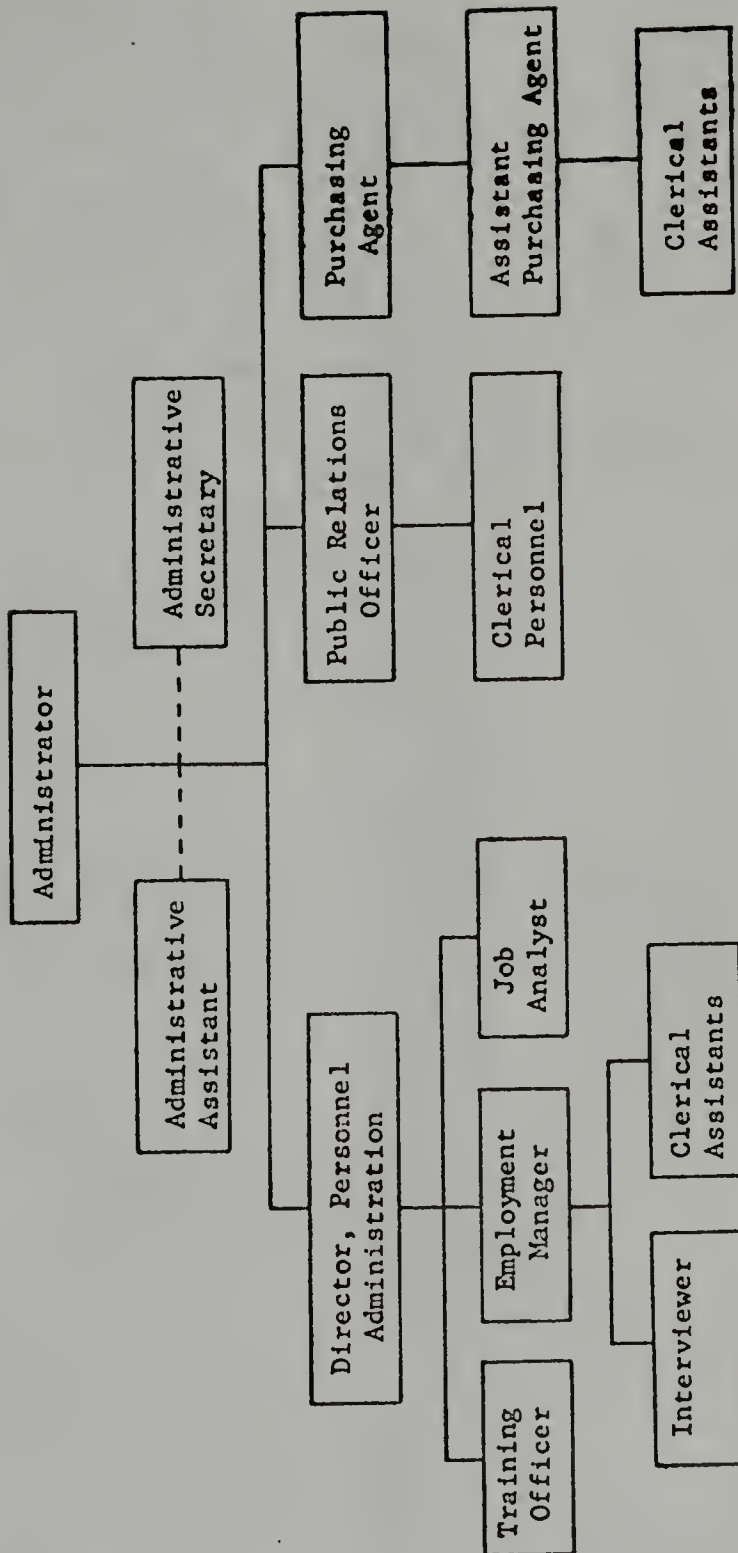


Chart 2-3

Medical

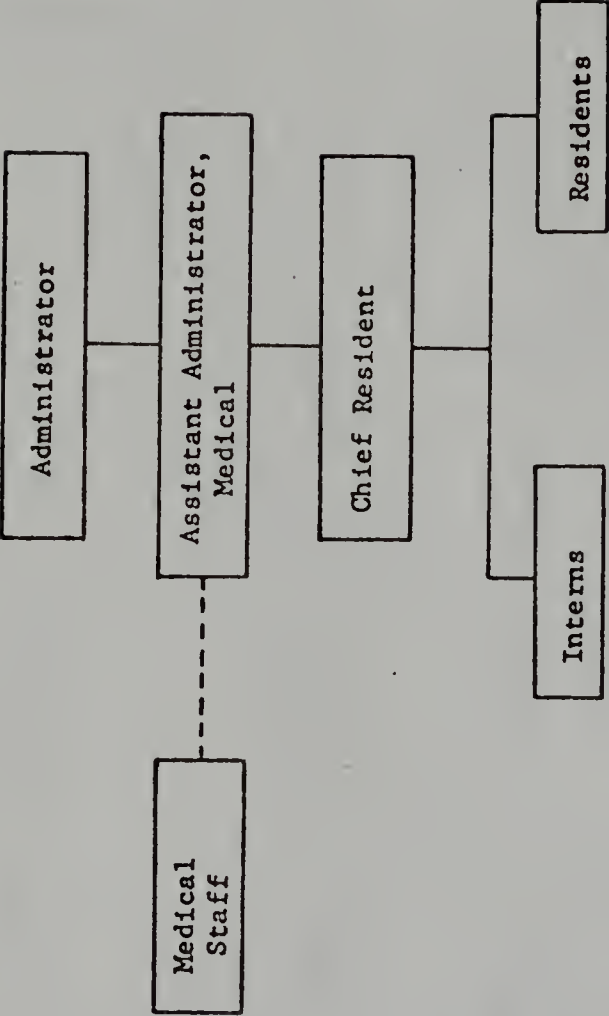


Chart 2-4a

Nursing Service Department, Nursing Education

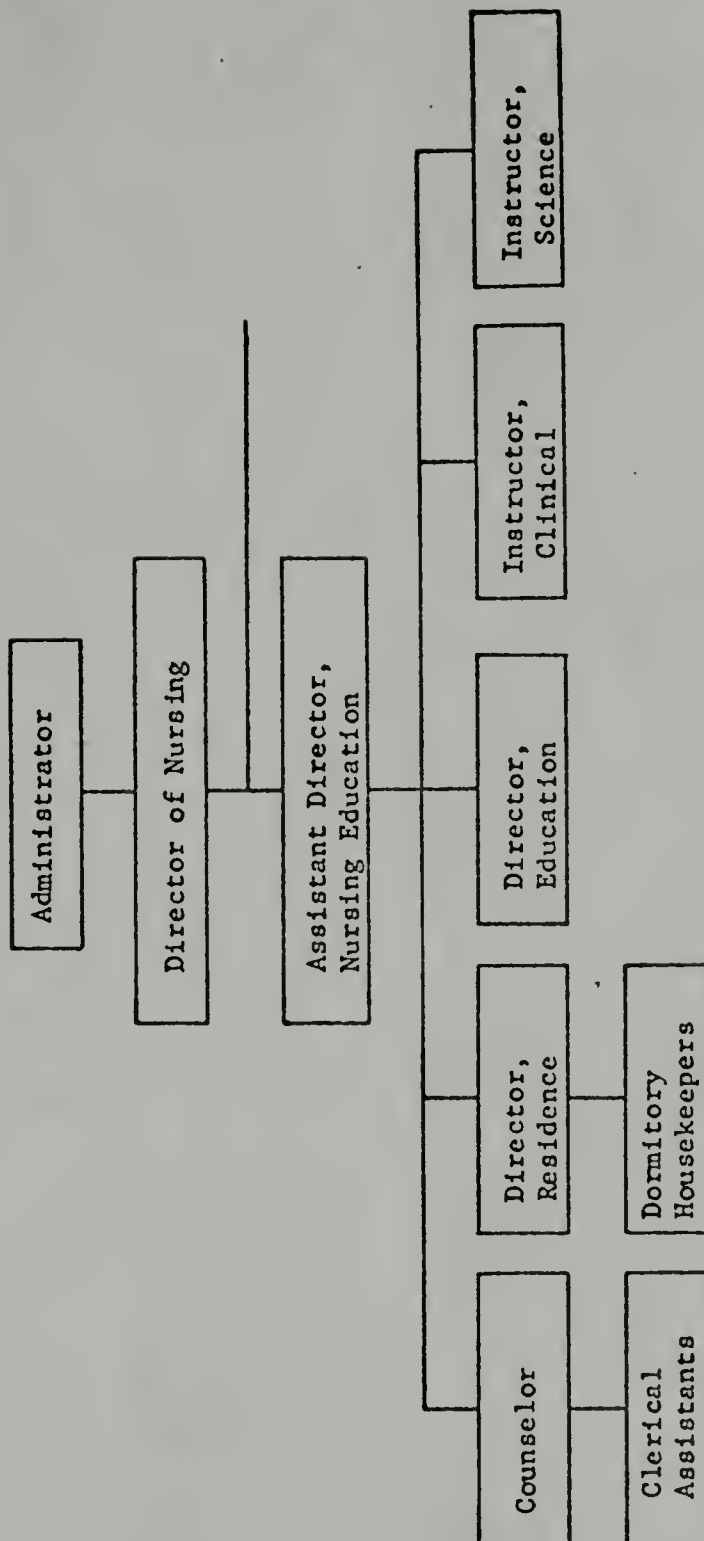


Chart 2-4b

Nursing Service Department, Nursing Service

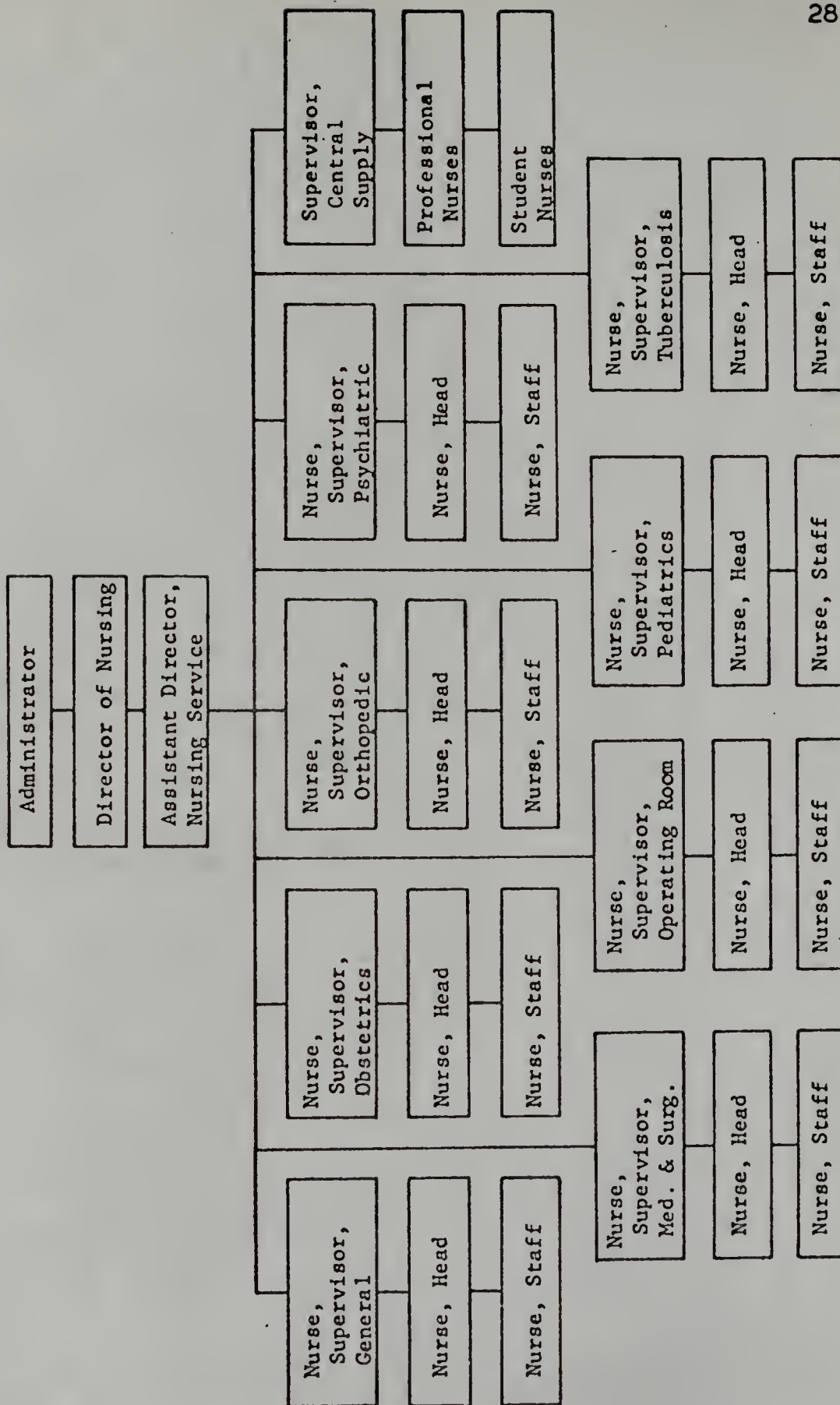
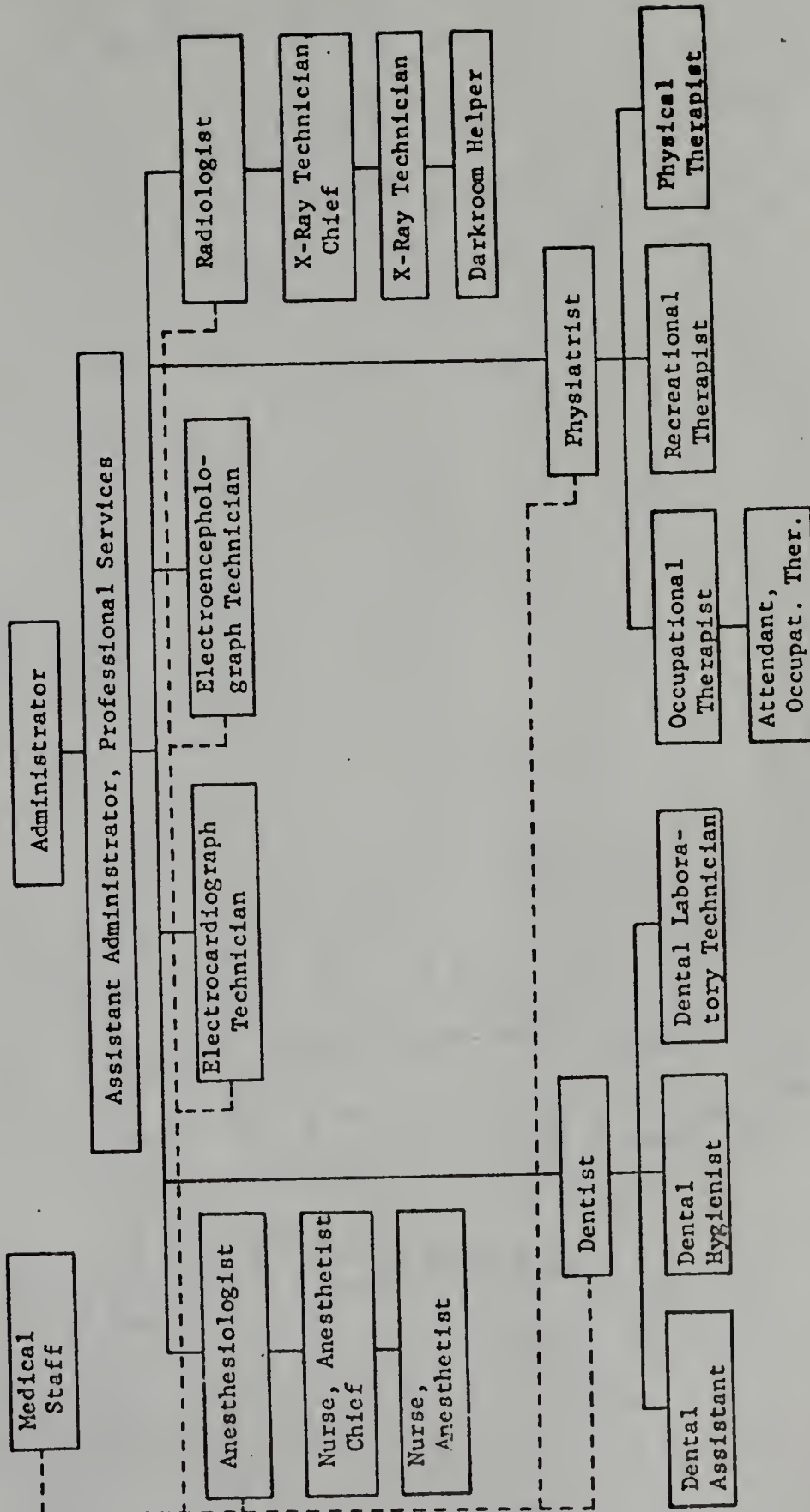
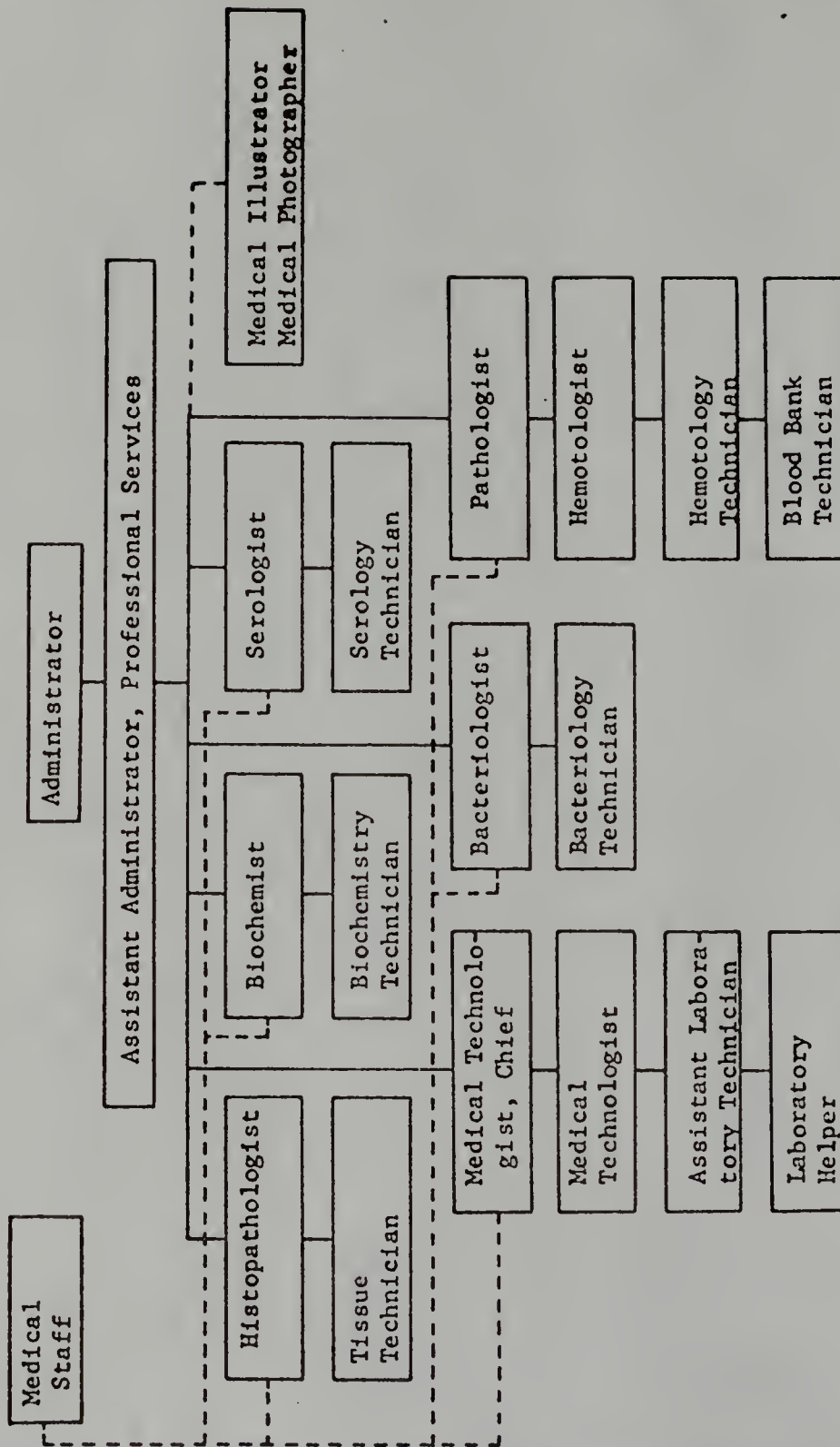


Chart 2-5a

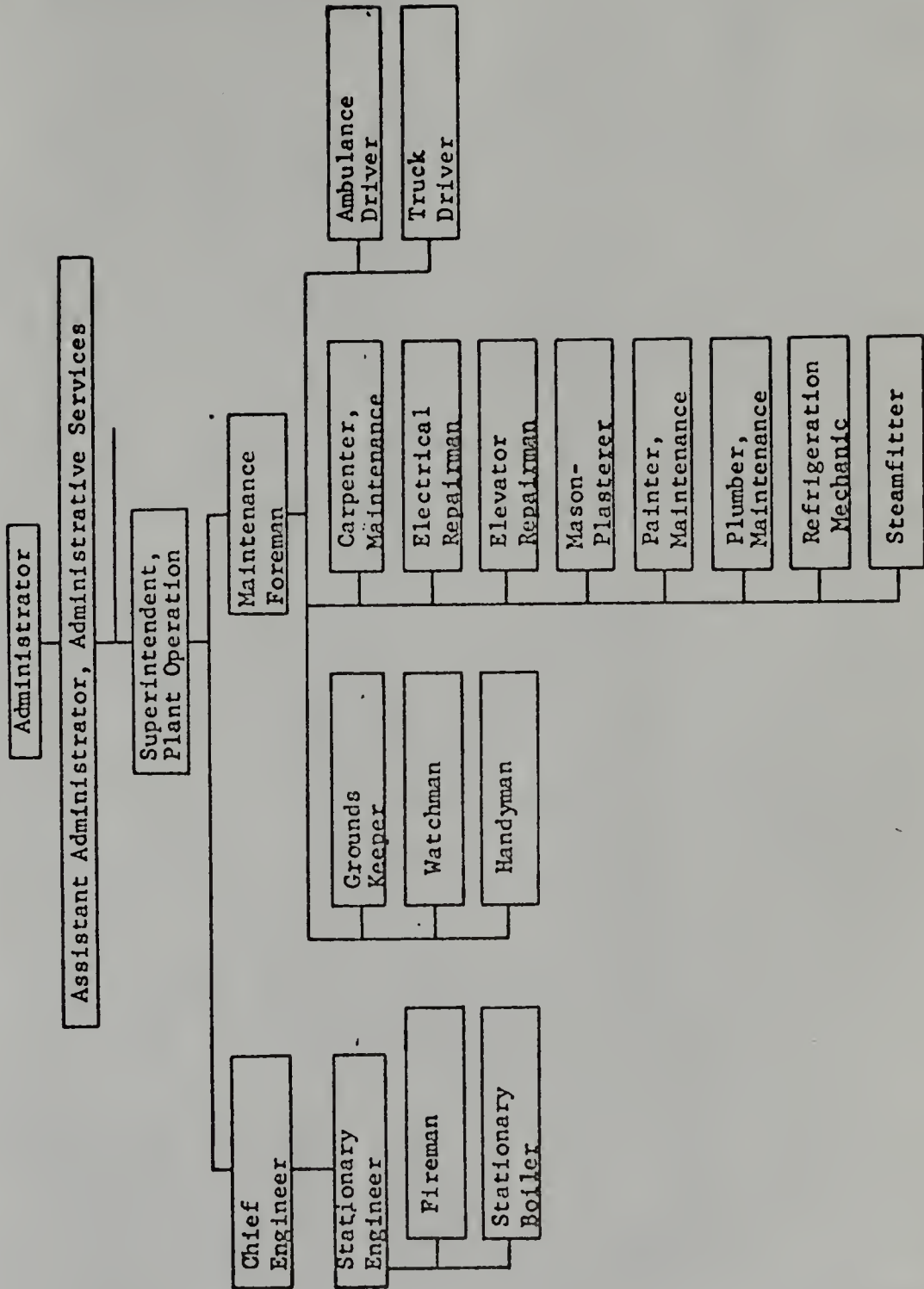
Professional Services Department



Professional Services Department (Cont.)



Administrative Services, Operations



Administrative Services, Operations (Cont.)

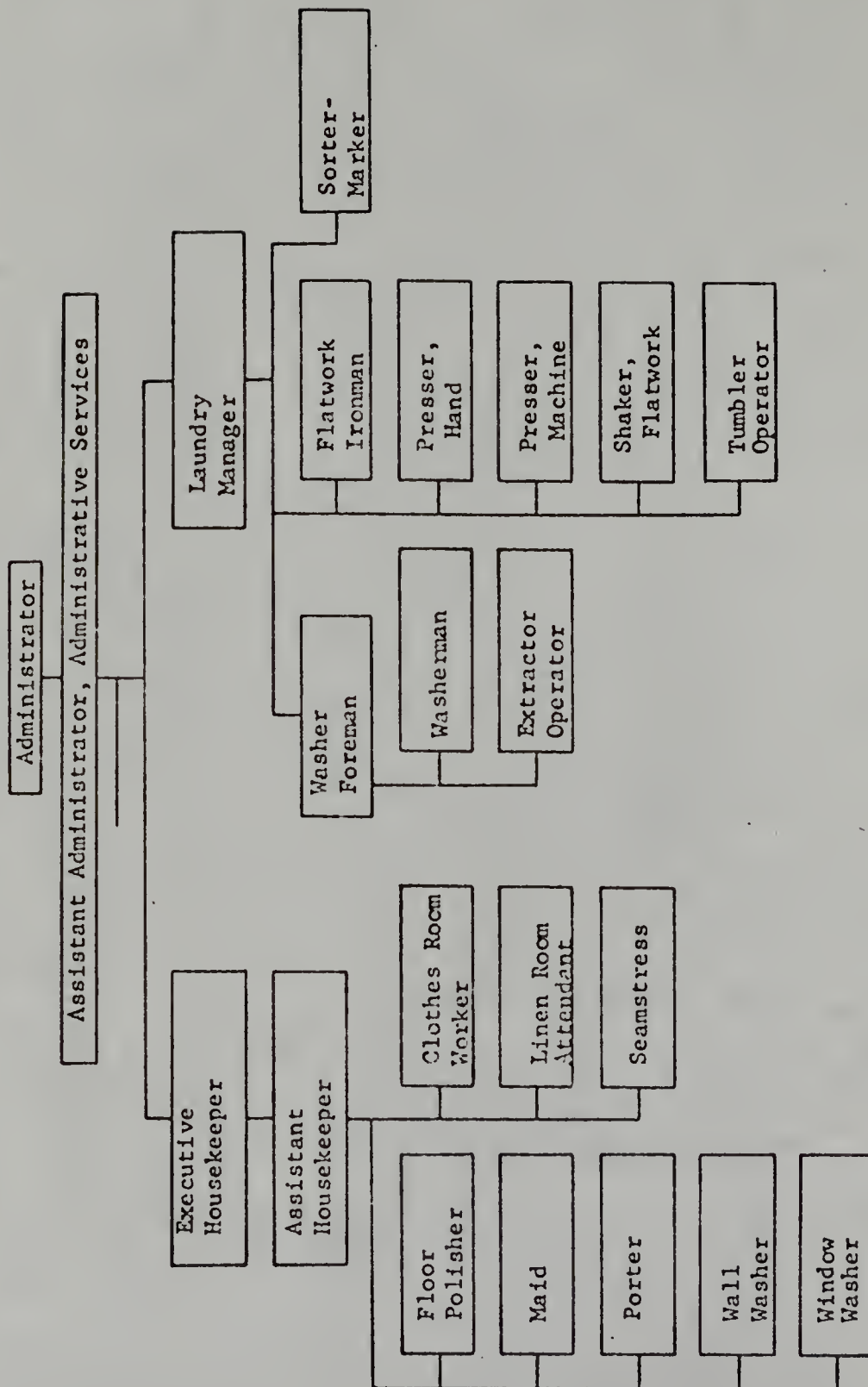
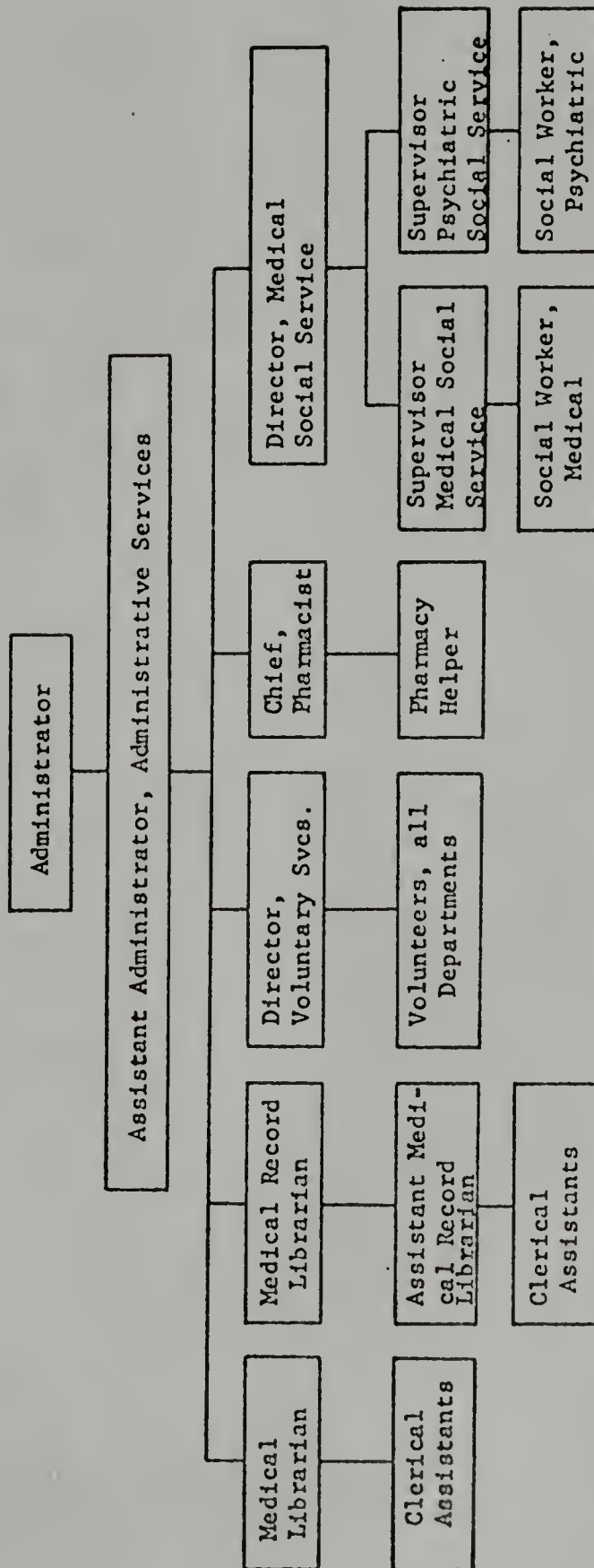


Chart 2-6c

Administrative Services, Medical



Business Department

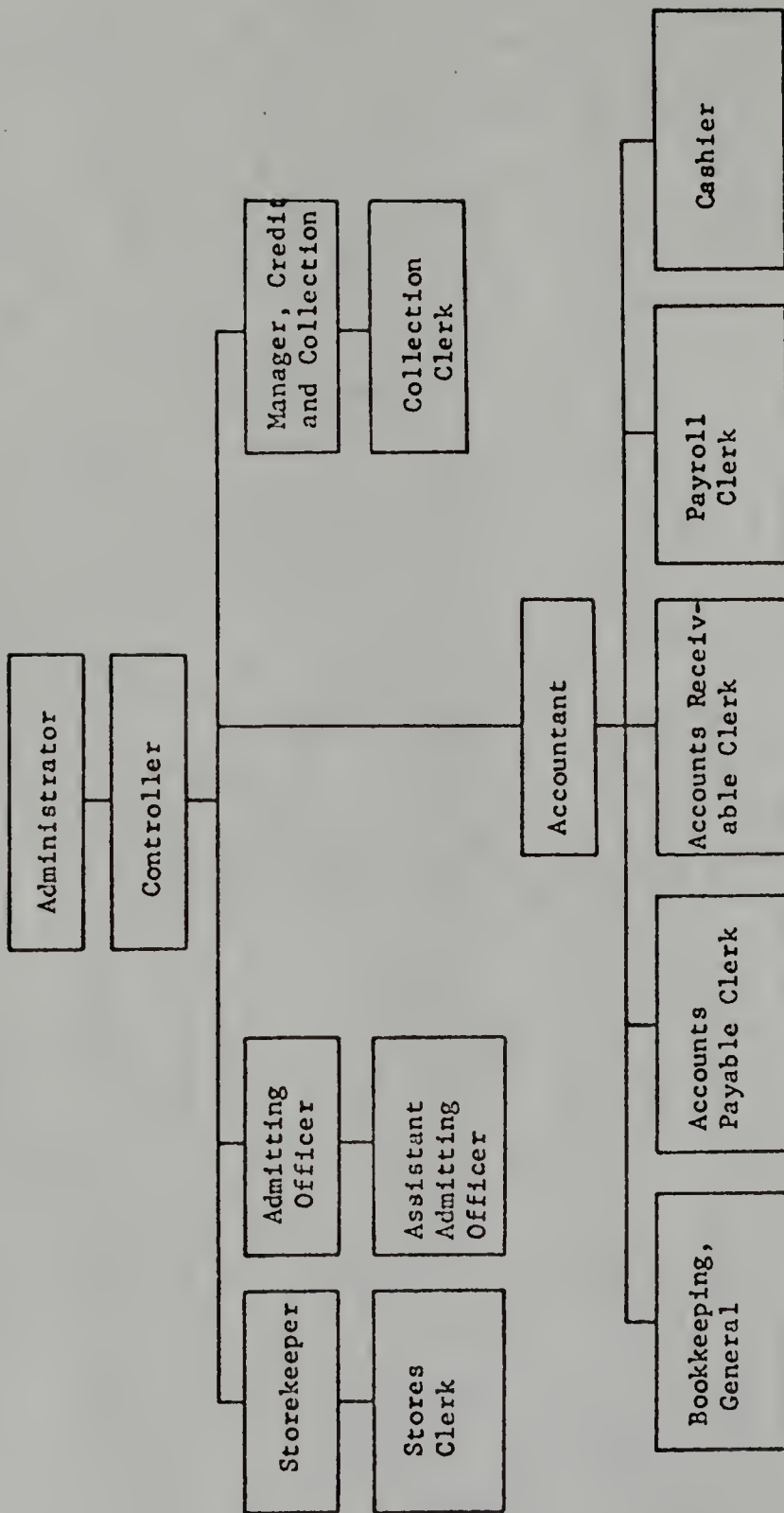
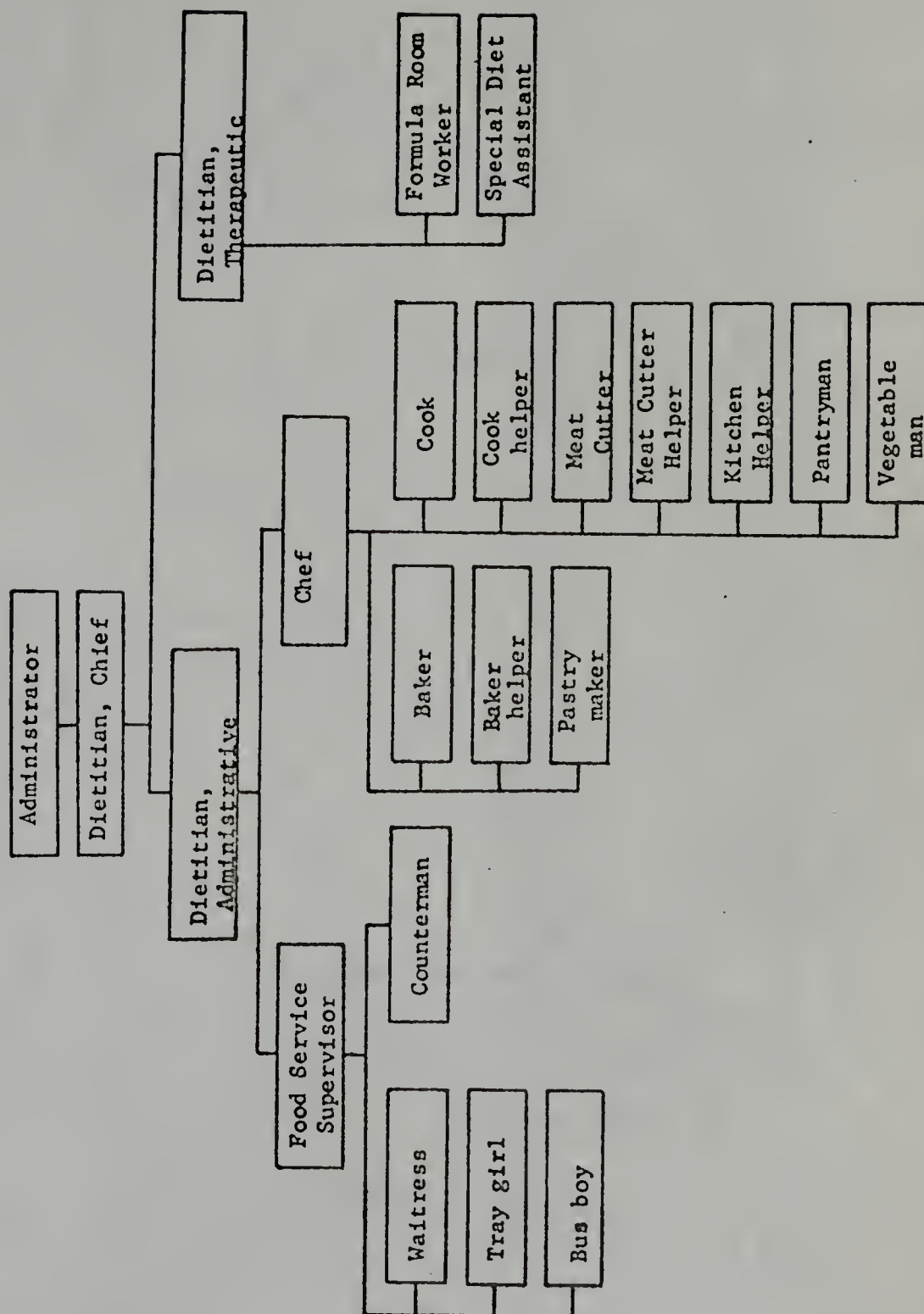


Chart 2-8

Dietary Department



intimately associated with hospitals may question certain organizational grouping, terminology used, or units included or excluded. This is, however, the single most complete study found and provides a point of departure for discussion. This organization is useful to indicate more specifically the variety of activities that may be carried out in the hospital, and, more specifically for present purposes, the numbers and types of supervisory personnel in the hospital.

Anderson and Warkov (1961), in a study of organization structure and personnel behavior in 51 Veterans' Administration general and TB hospitals, have found that, regardless of the type or size of hospital, approximately 12.5 per cent of the employees hold supervisory positions - neither size nor complexity of functions appears to cause a change in the percentage of management personnel.

With the increasing complexity and challenges, a survey by the American Hospital Association found that "many administrators may be using the wrong management tools, although on the whole they are doing a good job..." (Hospital counseling program..., 1960). It was found that administrators were spending "too much time" with internal operations. This was concluded to have been caused by boards of trustees who typically evaluate the administrator on the basis of internal operations only. In many cases

there was improper delegation, or poor understanding of delegation, with no clear lines of authority. Too few administrators were seen as properly using a budget; too few understood its purposes and uses. It was found that there were incomplete reporting systems, with an absence of reports from service departments. Most reporting was required upward from subordinate to superior with little downward reporting. Many hospitals were found to lack adequate planning. Even where delegation of authority was well carried out, it was found in many situations that there was poor delineation of authority limits between individuals and between departments. Nursing staffs, generally, were the most effectively organized, while X-ray and laboratory departments were also generally well managed. Medical staff organization was "usually adequate," and included a well-defined formal organization structure.

Organization Personnel

Leadership and personnel

It is of value to review studies of hospitals which suggest the complexity of interpersonal relationships. Georgopoulos and Mann (1962) of the Survey Research Center, have prepared the most sophisticated study found in the literature. Major emphasis was related to the measurement of patient care, although their general discussion, rather

than their specific aims, is of more interest to the present discussion. While their investigation was limited to ten hospitals located in lower Michigan, review of other studies suggests that the discussion is fairly representative. The authors believe that "motivating organization members towards the objectives of the organization is much less of a problem for the hospital than for other large-scale organizations. The goals of individual members and the objectives of the organization are viewed as being considerably more congruent in the hospital."

They find that because much of the activity within the hospital is highly variable and irregular, it is desirable that much of the work be voluntary, informal, and expedient. Paradoxically, however, they have found that most work is highly formal and quasi-bureaucratic with formal policies, formal written rules, and formal authority. Round-the-clock, continuous operation necessarily requires a considerable amount of coordination between shifts and departments, and many activities are carried out during the absence of the physician as the instituting authority. Hospitals tend to be authoritarian as to leadership, partly as a result of religious and military beginnings. Hospital leadership is expected by the authors to be authoritarian for some time because the concern for patient health demands strict attention to specific rules, because of the

desire for efficiency, and because of the desire to adhere to traditions. The demand for, and the acceptance of, authoritarian leaders comes about, in part, also from the professionalism in many areas of the hospital which leads to certain norms and expectations. The authors also detect that inherent in the structure of multiple leadership (trustees, physicians, and administration) is a tendency to decentralization. (It is of interest to consider this conclusion contrasted to that of Whistler (1964), quoted earlier, who has been led to the expectation of greater centralization.) "Staff" is seen as having more authority than generally found in business.

The hospital is unique in that the majority of its supervisory positions are filled by women; on the other hand, few women are on boards of trustees, are members of medical staffs, or hold top administrative positions. Typically, Registered Nurses, aides, laboratory technicians, and X-ray technicians are women, and most are in their 20's. Of the hospitals studied, 45 per cent of the RN's were part-time employees.

Administrative personnel tended to be less satisfied with the training they received than were non-supervisory employees. In further support of the need for supervisory training, the majority of supervisory nurses, for example, were promoted from the ranks in the organization in which

they were presently working (Georgopoulos and Mann, p. 10). Only 24 per cent of the supervisory nurses had held similar positions in other hospitals. Training is expensive and demands a return. Therefore, it is encouraging to find that 61 per cent of supervisory nurses and 60 per cent of the administrators and department heads had been with the hospital for five years or longer (Georgopoulos and Mann, p. 104).

Most supervisory and non-supervisory employees feel they have freedom on the job, but they also feel pressure; feelings of both freedom and pressure are greatest for those of higher rank. Thirty-four to 44 per cent of non-supervisory employees are satisfied with their opportunities for advancement, with technicians being the least satisfied. Sixty-two per cent of the supervisors are satisfied with the chance for further advancement (Georgopoulos and Mann, p. 129).

The "majority" of personnel express "high" satisfaction with the supervision they receive, and over 60 per cent see the hospital as an "excellent" or "very good" place to work.

Typically, hospital management is a highly educated group; of all managers, department heads have the lowest average education, but, even within this group, 40 per cent are college graduates.

Coordination

A "large amount" of time spent by supervisory nurses and department heads is concerned with coordination. Georgopoulos and Mann (p. 276) find coordination the key to effective hospital performance. Even though no plan can explain all organizational activities, it is typically assumed by management that the personnel will accept any plan given. For acceptance, however, there must be a frame of reference and a source of expectations for the individuals concerned. The authors have concluded that clearly defined policies, rules, and regulations improve coordination. A general feeling of willingness to help aids in coordination, while any form of strain has a negative effect. As has been indicated, higher level managers experience the greatest feelings of strain, and it is at the higher levels where coordination is most crucial. Although the hospital administrator and the director of nursing were found to be in the most critical positions for relating coordination to hospital efficiency, neither was statistically more important than other supervisory positions.

Coordination appeared to take place when appropriate members were aware of the importance of it. Coordination was significantly related to the effectiveness of both problem awareness and conflict-solving (Georgopoulos and

Mann, p. 329). Communication, as would be expected, was found to be necessary for coordination. However, this means a particular form of communication. Openness and completeness of communication is more important than formalized, programmed communication, while there is only a small relation of frequency of communication to coordination - it is quality rather than quantity of communication which affects coordination.

Largeness creates its own problems; the larger the hospital, the less coordination observed. Greater absenteeism for RN's, and increased turnover among aides, were examples of consequences resulting from a lack of coordination. Effective coordination was correlated to: sharedness and complementarity of expectations, member cooperation, openness of communication, adherence to rules, promptness of problem solving, absence of tension, and absence of "unreasonable" pressure (Georgopoulos and Mann, p. 352).

The importance of the human element becomes more apparent from the following conclusions drawn from the study. The more "affluent" hospitals were not significantly more likely to have better material facilities, and better facilities do not necessarily mean better patient care. Neither was there a relationship found between average employee wages and level of patient care. As might logically be expected, there was a positive correlation between the

skill level and number of nurses and quality patient care. Further, the quality of nursing care is "strongly related" to overall hospital coordination (Georgopoulos and Mann, p. 389). Interestingly, however, performance of any given department was found to be almost completely unrelated to quality of performance of any other department.

Problems must be met directly. It was found that positive attempts toward better coordination are much more crucial for effective organizational functioning than merely attempting to avoid disruptive behavior. Coordination and cooperation come about not because of an absence of negative behavior, but from positive attempts to implement coordination and cooperation, accomplished through effective communication.

The authors divide supervisory skills into three groups: administrative, human relations, and technical. Of the three, technical and administrative skills appear to be most closely correlated, and technical and human relations skills least correlated. Supervisors are perceived by their subordinates as being strongest in the technical areas and weakest in human relations. As is found in industry generally, the desired skill mix between supervisory levels in the hospital vary. The higher the manager in the organization, the more important are the administrative skills; the lower the manager in the organization, the more important

are the technical skills; human relations is important at all levels in the organization. Proficiency in all three supervisory skills was related positively to subordinate satisfaction (Georgopoulos and Mann, p. 446).

Employee needs

The problem of appropriate behavior is affected by the apparent fact that different people and different groups look for different things in their superiors. For example, nurses were most interested in good human relations practices of their superiors, while technicians were equally interested in both human relations and technical skills. Supervisory nurses desired expressions of appreciation for their work, an opportunity to express their opinions, and to be informed about forthcoming changes. Non-supervisory nurses looked most favorably on the supervisory nurse who understood their viewpoint, with whom they can discuss personal problems, and who is effective in planning, organizing, and scheduling. The department heads wanted from the administrator, their immediate superior, understanding of their views. They also desired an administrator who was "good in dealing with people," good at planning and organizing, and one to whom they could communicate their ideas. Department heads appear less interested than nurses in receiving expressions for good work, having an opportunity to express their opinions, or being informed of changes within the

organization. (Rather than lacking these needs, it can be speculated that these individuals are close enough to the administrator and are intimately involved themselves in these functions; needs which are satisfied are not always recognized.)

In summary, for all hospitals, it was found the most frequently expressed needs were:

At the higher levels: getting ideas over.

At the middle levels: discussing problems and finding out about changes.

At the lower levels: practicing human relations and effectiveness of planning and organizing.

A significant result of the study was that, of 92 correlations made between supervisory skills and characteristics and the quality of patient care, only four were statistically significant; the authors observed that, by chance alone, there would have been more than four (Georgopoulos and Mann, p. 479). Differentiation between good and poor patient care and between good and poor supervision was explained only in terms of coordination. (Coordination is seen as the intervening variable.) Supervisors were most successful in motivating subordinates to coordinate effectively when: they asked their subordinates about work problems, expressed appreciation for good work, were receptive to ideas and suggestions, and kept their subordinates informed.

Communication.-Because communication is a major element to coordination, attention to effective communication is critical. The more a hospital employee perceives his position as being secure, the more he communicates with his superior; the more the superior communicates with his subordinate, the more secure the subordinate (Georgopoulos and Mann, p. 523). Also, the more communication between the superior and subordinate, the greater is the percentage of the talk between them and with their peers concerned with patient care.

The value of informal communication has been suggested. However, the more the communication concerning ways to improve patient care was conducted in formal channels, the better was nursing performance. Communication about patient care became a commitment by the participants for patient care. Commitment developed by talking about patient care with superiors and subordinates, but much less when the discussion was with peers. The use of formal communication channels increased coordination and reduced tension.

Change.-Change is important in hospitals as in many other organizations. As a social value, change is especially important because of its influences on methods related to improved individual and community health. The desirability of such change has been well instilled in most hospital employees. Most have favorable attitudes toward

internal hospital change. Most employees find that acceptance of change and adjustment to it occur most effectively when there is: adequate information about the change, greater communication, understanding of the problems of other hospital members, little felt tension, a feeling of mutual understanding between superiors and subordinates, or a system of clearly defined rules and good coordination.

Another view

One of the major problems in the efficient operation of hospitals is well stated by Burling, Lentz, and Wilson (1956). The authors point to the fact that "in a curious sense, unmatched by any other organization, the hospital entertains the most important actors in the medical drama, the doctor and his patient, without being in direct command of either" (p. 83). These authors attempt to evaluate hospital management, and find that individuals are "not able" to be democratic if they have been "brought up" under authoritarian management. (If true, this suggests problems of introducing the form of leadership as being the most effective for hospitals suggested by Georgopoulos and Mann (1962).) Successful head nurses were modeling their behavior after someone under whom they had worked previously, while less effective head nurses could provide no clear picture of either very good or very poor supervisors. (Burling, Lentz, and Wilson, p. 116). In the technician and

nursing areas the authors found technical knowledge of the manager to be of more importance than is indicated by the previous study. "The theory that a supervisor should stick to supervising may make more sense in business than in hospitals. When techniques change rapidly, a nurse who doesn't keep in practice may become out of date in a short time" (p. 115). They appear to be advocating a rather strong how-to orientation for the leader, supported by group action. They also find that when supervisory nurses only compliment and never reprimand, they lose their subordinates' confidence, the subordinates do not ask as many questions of them, and the subordinates neither develop greater skill nor seek more responsibility. However, the authors do agree with Georgopoulos and Mann that with more group participation, the supervisory nurse has more time for general supervision, planning and other managerial duties.

Comparison of Business and Industry to Hospitals

Less is found in the hospital literature with each passing year advocating that hospitals are so unique that they cannot learn from the experiences of business. More and more hospitals are turning to outside sources for suggestions, example, and guidance. However, as with most institutions, concepts to be successfully applied need to be adapted to the using organization. For example, Littaver

and Waife (1949), while pointing out that hospitals have "the same basic problems of personnel management that industry employers have," identify seven areas which hospital management must keep in mind when adapting from industry:

1. Personal service. The hospital's product is patient service which is both produced and sold on the premises. The very fact that the patient is ill or injured makes the situation unique.

2. Continuous operation. The hospital has less mechanization and more personal service than most continuous operation organizations. Employees are not as free to come and go as most industry employees because of their responsibilities to their patients.

3. Patient attitude. Patients are critical of both hospital cost and care, and are becoming more so with increasing affluence and more widespread lay medical knowledge. The patient is paying for a service that can return him to a condition no better than that which he possessed before becoming ill. The patient, once recovered, may not see himself as having obtained some positive gain, but only as returning to his former state, which may be seen more as a neutral rather than positive condition. Further, time spent in the hospital may be terrifying and unhappy. The patient is placed in a new environment completely dependent on the decisions of strangers. The emotions of patients are often transferred to the hospital employees. Many complaints of the patients about service in general or about specific employees in particular are often the result of pain and fear reactions. The distress and helplessness of patients is often magnified by their relatives and friends who transmit the feelings of the patient to the hospital employees.

4. Emergencies. The life and death struggle in the hospital is made more difficult by the emergency situations which are often a part of the hospital day. ✓

5. Conflicting authority. Again, we find a recognition of the "conflicting areas of control and obscure zones of responsibility" between trustees, physicians, and administration. ✓

6. Deficit psychology. The concept of the "non-profit" hospital creates, in some administrators, an almost automatic resistance to the spending of money to improve service. (One does, however, gain the impression in reading the more current literature that this philosophy is much less applicable to present-day hospitals than was true when the article was written.)

7. Divided loyalties. Jealousies and disputes often erupt between departments and between professional and non-professional occupations.

After review of the above list one may question, however, whether there is, in fact, as much difference between hospitals and industry as the authors suggest. Klicka (1961), for one, sees hospitals not only required to operate in a businesslike manner, but argues that in many cases hospitals are more "businesslike" than most businesses.

Any resistance to adopting good business practice is seen by some as not only ill advised, but based merely on unfounded, traditional attitudes (Differences..., 1961). Hospitals were first most receptive to those business activities associated with record keeping: accounting, billing, credits and collections, and purchasing and inventory. However, "many people recoiled in horror [about the application of industrial personnel practices]. But some, who were seen by many as 'foolhardy' went ahead. They stopped providing housing, meals, and clothing to employees and substituted an increase in wages; they classified jobs, established wage and salary administration, studied industry's employment and training methods, adopted

industry's vacation and sick leave concepts, and added other benefits. Of course, in all these ways industry's methods are working very well, in more and more hospitals." More recently, hospitals have begun to add grievance procedures. Time and motion studies and work flow studies are becoming more common. More advanced forms of study and measurement such as electronic data processing, computerized decision making, and queueing theory are being introduced. Writers in the hospital field argue for more advances of this nature. One difference seen between the hospital and industry is "that the hospital's ownership and purpose oblige it to consider every proposal for improvement in method, from whatever source, whereas industry is at liberty to make its own choices" (Differences..., 1961). Business management, faced with restrictions and challenges placed on them by such groups as labor unions, government agencies, competitors, consumers and suppliers, might not agree fully as to their absolute freedom in decision making. However, it is concluded that "the differences between industry and hospitals will be honored most effectively when hospital people stop emphasizing the differences and start considering the similarities."

Lentz (1957) is one of the small number of more recent writers who believes that it is not appropriate to consider hospitals in the same manner as industries. However, in a

discussion of a "typology of administration" which includes social and economic roles of the institution and its internal structure, her major points are directed toward those factors which are truly unique to hospitals and provides less attention on those elements of organization that tend to be more universal in nature.

Hackamack (1960), after conducting hospital consulting work, concludes: "Basically there is no difference in the administration between that which we find in industry and that which we find in a hospital....There is an organization in existence both in the industrial setting and in the hospital setting. The administrative problems deal with the setting up of objectives and policies. Managers must also set up a standard for the control of the performance of the individuals involved."

Having reviewed briefly the development of hospitals and observed the complexity of their organization and functions, attention will next be turned more specifically to the role of the hospital manager. In pursuing the goal toward management development, it has been concluded that, within limits, guidance can be obtained from the work done in industry. The following will also include an analysis of the type of training required to aid him in performing more effectively his highly responsible duties.

CHAPTER III.

NATURE AND SCOPE OF THE PROBLEM: MANAGEMENT

To approach correctly the task of designing a management development program, the duties of the managers must be identified. In addition, discussion will be further directed toward specific recognized training needs of the hospital manager. With a general understanding of the overall structure of the hospital in mind, as discussed in Chapter II, this analysis can proceed in a more meaningful manner.

"Professional" Hospital Management

In review of journals in numerous fields, both in and out of hospitals, one discovers that, almost invariably, a writer challenges the group by asking if they are members of a "profession." No less a challenge is found in hospital administration. Snoke (1955), for example, desires that hospital administrators, if not all hospital supervisory personnel, be professionals. He sees hospital administration as "a profession - not a business." (However, there are those in business who would choose to call management a profession.) Snoke argues that because the

modern hospital is a health center with an administration which must plan for the future, and because hospital administration should work as equals with other professionals in the hospital, administration has to be a profession. The administration must provide vision, leadership, and interpretation, and be knowledgeable in public health "if we are to be anything besides super office managers or hotel keepers."

Wilensky (1962) takes a more sophisticated - and it is believed more realistic - approach. He points out that "all people" seek to make their work dignified. This is attempted through establishing professional authority on a technical basis. He suggests that of approximately 30,000 occupations, only 30 to 40 are truly professional. Included in his list are the engineer, scientist, lawyer, physician, minister, university teacher, military commander, architect, dentist, certified public accountant, social worker, correctional worker, veterinary, and city planner; on the border-line he places such occupations as public school teacher, librarian, nurse, pharmacist, and optometrist. Certainly, Wilensky would agree with Snoke, that whether the administrator is a professional or not, he must deal with a great number of professionals and near-professionals in the normal course of his duties.

Wilensky prescribes the following criteria for professional status:

1. Work done full time. The time has passed when hospital administration is provided by a local business man who comes to the hospital only occasionally to direct operations and give limited instructions. However, lower level hospital management, as in the laboratory or X-ray departments, are in many instances a combination of part-time technical practitioners and part-time managers, and many smaller hospitals employ an administrator who performs non-managerial functions in addition to his managerial duties.

2. Members combined to form a professional association. The American Hospital Association and the American College of Hospital Administrators perform this role for the hospital administrator and other top level hospital managerial personnel. These associations establish standards for membership and levels of membership standing, provide guidance to members, provide appropriate literature, perform studies, and conduct workshops. Their actions also affect middle and lower level hospital management directly and indirectly.

3. Training school. There are approximately 20 graduate programs in hospital administration in the United States. The first established at the University of Chicago in the early 1930's and the most recent at the University of Florida in 1964. However, there are two major concepts of course content for these programs: one group argues that hospital administration is medical administration, and, therefore, training should have the strongest concentration in the health fields; the other school of thought argues that hospital administration is management in a specific setting, therefore training is concentrated in management with lesser emphasis on health services. In that there are approximately 8000 hospitals in the United States and only 2000 graduates of these programs, many of these graduates holding positions below the administrator level, it is apparent that only a minority of hospitals are represented by those with "professional" degrees. A strong trend is developing, however; the number of graduates increases each year and boards of trustees are specifying hospital administration graduates for more positions.

4. "Divide the sheep from the goats." It is required that there be a definition of competence. The American Hospital Association and the American College of Hospital Administrators, as well as various other groups

represented in hospitals, have attempted to set qualifications. Recommendations have been made and certain recognition is withheld until specific requirements are met. Participation in most of these programs or activities is voluntary and no administrator is required to take part as a requirement for holding his position - the only appeal is to the individual's ego and a desire to be recognized within one's peer group.

5. Code of ethics. The AHA has developed a code of ethics for hospitals as has the ACHA for administrators (Appendix A). Various occupational groups in the hospital also have developed codes.

6. Political attempt to have legal support. The eventual goal is to have professional autonomy - authority and freedom to regulate one's own group members. Within limits this has been accomplished. The requirements for acceptable hospital performance have been established by the Joint Commission on Accreditation of Hospitals, which are typically more demanding than local, state, or federal requirements. However, here again, participation in the program for acceptance is left to the discretion of the individual hospital.

In general, limitations of professionalism in hospital administration are that (1) the area of competence is not exclusive; (2) the recruitment base is heterogeneous (Wilensky quotes a 1948 AHA study of 1000 hospital administrators which found there were 131 occupational backgrounds represented in the group); (3) administration is a service workshop which is separate from the technical services it renders; and (4) hospital administrators must deal with physicians who are part of the most powerful profession in the world. Advancement of hospital administration as a profession will come about only when and because of: increased medical care, increased use of medical and

hospitalization insurance, reorganization of medical and parimedical services, increased group practice by physicians, the development of regional medical facilities, increased study of administration by the social sciences, increased importance of preventive medicine and rehabilitation, and an increased supply of hospital personnel and facilities. It is also believed that as the work of the physician increases, there will be less time for him to resist the advances of the administrator toward professionalism. The administrator, much more than the physician, is able to delegate, thus conserving his own time to organize and plan for the future.

Duties of Hospital Management

Management responsibility

Whether hospital management can be considered a profession or not, the fact remains that the functions of the position must be performed and the responsibilities and demands are increasing in importance. Increased specialization which calls for greater exchange of information and cooperation, has given rise to greater emphasis on hospital administration. The administrator must provide leadership, innovation, and education, as well as possess a value system which is broader than any of the personnel he directs (Traxler, 1961; Barrett, 1961). In meeting these challenges,

Dimoek (1957) suggests, in broad terms, the role which the administrator must perform. Primarily, he sees the maximum challenge as the need for growth on the part of administrator in response to change. Change is continuous and demands constant definition and redefinition of objectives. Management demands innovation and definition of objectives. The requirement to make decisions becomes more important the higher one's position in an organization. The effective administrator must develop a "sense of strategy" which involves struggle, competition, and a well-developed sense of timing. Strategy is the application of intellectual pursuits, intuitive ability, and problem solving consistent between ends and means.

Dimoek believes that the manager has the obligation to shape the interests and values for both the organization and its employees. The implications are that management delegate decision-making as far down the organization hierarchy as members are able to handle the responsibility. This tends to broaden the subordinates' experience, stimulate them, establish a basis for frankness, promote growth, give appropriate credit for performance, and develop loyalty by giving all an opportunity to assist in the formulation of policy. Although some authors quoted earlier believe authoritarian leadership is inherent in the hospital, Dimoek believes that democratic leadership is a necessity

of dynamic leadership and is a prerequisite in the hospital.

Finally, Dimoek encourages the administrator to organize with the various major hospital groups to establish goals for developing individual growth and group cohesion, that is, the development of the whole man through the organization. This is not brought about merely by human relations training but requires a complete philosophy, and, it is believed, the philosophy will not function in the organization unless people are given the opportunity to grow. Therefore, the administrator is viewed first as a teacher. The administrator can best lead and teach (1) when he is able to generalize effectively, when he has high intelligence, when he allows his imagination free rein, when he is willing to look at new ideas, and when he is adventurous; (2) when he desires and is able to deal with those around him; (3) when he can relate the total environmental situation to particular jobs; and (4) when he has appreciation of the social, economic, and political implications of his actions.

Management activities in a large hospital

If these are desirable goals, Underwood (1963) and Saarhoff and Kuatz (1962) have asked how the administrator goes about accomplishing them. Underwood made observations of the activities of one administrator in a large government

general medical and surgical hospital, employing 1200 personnel, and with an annual operating budget of \$9 million.

After a ten-day study, the following summary was obtained:

<u>Activity</u>	<u>% of Time</u>
Time spent in:	
Administrator's office	72.0
In hospital outside the office	24.5
Outside the hospital	3.5
Time spent in action initiated by:	
The administrator himself	38.2
Other personnel	46.7
Both the administrator and others	10.5
The situation	4.6
Types of communication used:	
No communication	12.8
Talking	62.4
Telephone	7.2
Writing	4.4
Reading mail and reports	13.2
Types of activities:	
One time action	15.8
Initiating new activities	15.5
Work on continuing activities	55.6
Completed activities	13.1
General Administrative functions:	
Planning	10.3
Organizing	4.9
Staffing	18.3
Directing	9.3
Coordinating	10.1
Reporting	13.1
Budget	4.3
Public relations	7.2
Check standards and progress	3.7

<u>Activity</u>	<u>% of Time</u>
Specialized Administrative functions:	
Patient needs	7.1
Education	4.3
Research	2.8
Building maintenance	.9
Space	1.4
Equipment	1.6
Trouble shooting	.7
Knowledge required to perform these activities:	
General administrative knowledge	45.1
Agency organization	4.2
Hospital organization	10.5
Patient needs	7.8
Health practices	5.1
Education	2.8
Research practices	2.8
Government regulations	4.2
Special publics	7.4
Key individuals	4.4
Hospital groups	5.7

Observations were limited to normal working hours, therefore it is not surprising that "prolonged and close" attention to additional duties was required during other times.

Management activities in a small hospital

Although utilizing a different approach, Saarhoff and Kuatz (1962) provide a valuable study of administrators' activities in seven small hospitals ranging in size from 13 to 32 full-time employees. Of the seven administrators, 4 were men and 3 women, ages ranged from 23 to 61 years, and experience as administrators varied from less than one year

to 17 years. Occupational backgrounds varied; there were four Registered Nurses, one laboratory and X-ray technician, one manager of a medical-hospitalization insurance office, and one bookkeeper.

Of 147 functions performed by one or more of the administrators, the following occurred most commonly:

Administrative: review and evaluate hospital policies, procedures, and work methods; interpret and transmit policies of the board of trustees to the medical staff and employees; recommend change; submit operation statements; attend board of trustees' meetings; analyze changes; recommend changes in equipment, facilities, and construction; attend medical staff meetings; perform liason between medical staff and trustees; authorize news releases; review changes in insurance policies; approve credit extension; decide on collection of overdue accounts; supervise stock control; hire personnel; determine organizational lines of authority and responsibility; investigate and decide grievances.

High performance was related to time as an administrator, not to the number of functions performed.

No correlation was found between performance and any of the above functions.

Complementary administrative functions: admit and discharge patients; explain hospital policies to patients; guide for hospital tours; give community talks; made decisions regarding drugs.

Any one administrator tended to do either all of the above functions or none of them.

Nursing service functions: direct the work of nurses; orient new personnel; direct inservice training; evaluate nursing care.

In hospitals where the administrator was a Registered Nurse, the administrator tended to do all of the above; administrators without nursing experience hired a supervisor of nurses who performed such duties.

Nursing service, general: observe and report symptoms of patients, administer oxygen, take temperatures, etc.

Former RN's performed most of these duties.

Other duties performed by one or more of the administrators: delivery and operating room; anesthesia; medical records; laboratory; X-ray; drug pharmacy; dietary; housekeeping; laundry; maintenance.

It is apparent that there is not a common job description for those studied. The role of each administrator depended on (1) proficiency; (2) interest; and (3) circumstances in the hospital. To the extent that circumstances - the most critical may be finances - dictate the administrator's functions, perhaps little change can be suggested. However, selection of duties of a non-managerial nature by an administrator solely on the grounds that he has the background or the desire is obviously to deny the unique and necessary functions of management. That the surveyed administrators had developed dissimilar schedules, both as to types of duties performed and time spent on these duties, is to suggest that none or few are fully performing their duties to meet their highly crucial responsibilities.

Clarifying management duties

There may be some confusion as to what is the proper role of hospital administrator. If true, it can be expected that confusion may also exist as to what the proper roles

for all hospital managers should be. Scott (1962) argues that identification and clarification of duties can best be obtained through training. He suggests the following steps:

1. Clarifying the manager's role: This is accomplished through job descriptions, extending special authority, giving status symbols, and providing incentives related to the manager's position. A balance is required so that the manager does not lose effective contact with his subordinates.
2. Simplifying the manager's work: The manager's responsibilities require that he have time available to organize and schedule his own time and that of his subordinates.
3. Fair pay and opportunity for promotion: Salary should be sufficiently greater than that paid subordinates to make the extra effort and responsibility for supervision meaningful. Opportunities need to be provided for development through training.
4. Training adapted to job needs: The management position itself should be considered a major training device and job assignments should be related to classroom instruction. Line managers should perform the function of teacher for their subordinates both on the job and in class. Special emphasis should be placed on self development. On a selective basis, the hospital should direct the individual managers to appropriate institutes and workshops.

Clarify the departments' duties

The American Hospital Association has established basic guide-lines for the separate hospital departments. The individual hospital department is seen as carrying out its functions according to the philosophy and objectives of the hospital as established by the board of trustees and with responsibility directly to the administrator. Functions

of the hospital department are (Statement of functions..., 1964):

1. To provide and evaluate services in support of the medical care pursuant to the objectives and policies of the hospital.
2. To implement for departmental services the philosophy, objectives, policies, and standards of the hospital.
3. To provide and implement a departmental plan of administrative authority which clearly delineates the responsibilities and duties of each category of personnel.
4. To participate in the coordination of the functions of the department with the functions of all other departments and services of the hospital.
5. To estimate the requirements for the department and to recommend and implement policy and procedures to sustain an adequate and competent staff.
6. To provide the means and methods by which personnel can work with other groups in interpreting the objectives of the hospital and the department to the patient and community.
7. To develop and maintain an effective system of clinical and/or administrative records and reports.
8. To estimate needs for facilities, supplies, and equipment and to implement a system for evaluation, control, and maintenance.
9. To participate in and adhere to the financial plan of operation for the hospital.
10. To initiate, utilize, and/or participate in studies or research projects designed for the improvement of patient care, the improvement of other administrative and hospital services.
11. To provide and implement a program of continuing education for all personnel.
12. To participate in and/or facilitate all educational programs which include student experiences in the department.

13. To participate in and adhere to the safety program of the hospital.

Evaluation of Hospital Management

Letourneau (1956) is one of a number of writers who finds it difficult, if not impossible, at the present time to measure the effectiveness of efforts of either individual departments or a combination of departments. The most important factor must relate to patient care, but no adequate method of measurement has been developed. Attempts at objective measures still remain subjective to a considerable extent. The typical measures used, as found by Letourneau, are:

1. Standards established by the Joint Commission on Accreditation of Hospitals.
2. Indexes of performance, such as autopsy rates, accuracy of diagnostic procedures, etc.
3. Indexes of effective care, such as mortality rates, postoperative infections, etc.
4. Qualitative clinical evaluations.

A fifth measure, not mentioned by Letourneau, is that utilized by Georgopoulos and Mann (1962). These authors have those most closely associated with the hospital - trustees, physicians, and administrative and non-administrative employees - evaluate their own institution by means of a series of standardized questionnaires.

Letourneau believes that no measure can be truly accurate that does not consider all of the following: the amount of education provided by the hospital, the amount of research conducted, the amount of rehabilitation service provided, outside community health services available, geographic location of the hospital, hospital ownership, financial practices, hospital design and construction, and the personnel units of work. Pertinent questions also concern the type of patient admitted, patient turnover, and outpatient and emergency volume. In addition, measures should be made of personnel and administrative practices, and the types and amount of contacts with individuals and groups outside the hospital.

By contrast, but of equal importance, Devolites (1955) provides a list of hospital practices to be avoided: packing the hospital to keep up the census, indiscriminate use of emergency admissions, scattering of patients in many wards regardless of illness, poor work organization and medical supervision, poor operations methods, use of many forms and reports, inappropriate work loads and poor scheduling, empire building, defensive attitudes, poor communication, duplication of effort, lack of personal attention, poor planning, ineffective directions, inadequate control, too many organizational elements, and lack of labor saving devices.

Management Education

To accomplish desired results, Brown (1956), as have others, visualizes a major solution through improved training of personnel, especially training of management personnel, because it is they who have the greatest effect on the operation of the hospital.

Programs available

The AHA and various professional groups represented in hospitals provide a number of training programs for supervisory and non-supervisory personnel in specialized, administrative, and leadership subjects. A recent list of workshops sponsored by the AHA is informative (Check list..., 1963). For one year, there were programs for: administrative secretaries, credits and collections, dental service, design and construction, dietary service, disaster planning, education, engineering, governing boards, house-keeping, labor, laundry, law, librarianship, long term care facilities, medical records, nursing service, occupational therapy, personnel practices, pharmacy, physical therapy, planning, purchasing, rehabilitation, social service, volunteer services, and others. Specifically for management personnel, there were programs in: communication, management, and supervision.

There are also three advanced courses each year in hospital administration: The Hospital Administrator's Development Program at Cornell University, which lasts for four weeks and is intended to develop professional knowledge, explore new advancements in hospital administration, and broaden points of view; The Program of Continuing Education at Columbia University for top hospital management personnel in hospitals of 100 beds or less, which includes a two-week resident program, an eleven-month home study course, and a second two-week review session; and the Chicago Institutes at the University of Chicago sponsored by the American College of Hospital Administrators which includes a beginning ten-day program and a five-day advanced program. In addition, Xavier University in Cincinnati, provides an extension course in hospital administration. Correspondence courses and resident courses in accounting, business law, business administration, public health, etc., are generally considered by hospital authorities as appropriate and desirable approaches for study in the development of supervisory hospital employees.

The various hospital associations are also highly active in most parts of the nation in utilizing workshops and seminars during district, state, and regional meetings. The hospital field is also served by a number of journals of both general and specific nature. At intervals, these

journals provide articles on training ranging from the general philosophy of learning to "how-to" programs for specific purposes (Berke, 1960; Bushnell, 1957; Chase, 1963; Coulter, 1963; Groner, 1961; Hill, 1959; McQuilla, 1962; Sr. Mary Agnes, 1960; Scates, 1961).

Inservice training

The importance of training hospital personnel, especially in providing training within the hospital itself, is pointed up by the creation of an organization within the AHA for hospital training directors (Hospital training director's role..., 1963). The W. K. Kellogg Foundation, long active in the support of hospital programs, has made a contribution toward beginning a central clearing house and centralized development of more effective hospital employee training both in and outside the hospital (Kellogg grant..., 1964). The goal of this project is to "strengthen continuing education in the hospital field." So interested is the Foundation in this project that the five-year commitment of \$1,300,000 is the largest grant yet made by Kellogg in the hospital field. However, after a year in existence, in reply to a request for assistance in providing material on managerial development programs, it could only be stated that "it will be some months before either program [a clearing house for educational materials or a publication entitled 'A Guide to Establishing and Conducting Hospital

Personnel Development Programs] will be operational....[and] I know of no single source for such information short of hiring an educational consultant who is well versed in hospital functions and operations."¹

Encouragement for supervisory training is sought by Sister Miriam Eveline (1964). Training is seen as a basic requirement for both growth and change. It has been found in hospitals, as in industry, that managers cannot expect to learn all that is required simply by performing their jobs on a day-to-day basis. There is need for a systematic and formalized training that permits the individual to remain current and that will allow him to prepare for future responsibilities. "Development is not the result of a one-time effort or a single approach. Man is a many leveled, many divisional creature." She believes that the most critical element for learning is the desire of the individual to learn.

In general terms, Mottershead (1954) suggests that a supervisory training program should contain material on such topics as: understanding the duties of management; delegation and acceptance of authority and responsibility; skills in instruction, improving job methods, and in handling people; considerations of the relations between

¹Letter to L. R. Jordan, Director, J. Hillis Miller Health Center, University of Florida, Gainesville, by R. L. Watt, Division of Education, American Hospital Assn., Chicago, March 18, 1965.

line and staff; and contributions of staff to employee training. It is recommended that the measure of a training program be based on improved service and decreased cost.

The AHA, through its consulting service, has suggested criteria for evaluation of management performance which deserves considering when designing content and measuring the effectiveness of management training programs (AHA offers management consulting..., 1959). The recommended criteria are:

1. The board of trustees accepts responsibility to provide the community with hospital service.
2. The hospital is operated within policies set by the board.
3. A clear definition of areas of authority and responsibility.
4. Standard procedures and practices are established.
5. Predictability of financial operations.
6. Reporting systems to provide adequate information to all levels.
7. The hospital accepts responsibility for standards of hospital medical practices.
8. Coordinate hospital activities with health and welfare agencies.
9. The hospital environment shows administrative elements support patient care.
10. There exists the organization and administration of a formal education program.

Catholic Hospital Association study

The most comprehensive study of supervisory needs in hospitals that has been found in the literature has been conducted by the Catholic Hospital Association and financed by a grant from the U.S. Public Health Service (Christopher, 1961). The study involved discussions, and interviews with, and questionnaires from over 2000 members of management in 20 hospitals. The goal was to find in what areas management believed it needed training. Although all levels of management were considered, it was believed major emphasis should be on middle and lower management because:

Experience as well as formal education has been improving this top or administrative level of managerial competence. The era of the professional administrator, if not already here, is at least near. But what is being done at the middle and lower levels of the management group to improve their managerial capabilities? At these levels there usually is less experience, perhaps due to the relative youth of these groups. Frequently, there also is less formal education, where such formal education does exist, it has been directed toward a professional area or specific discipline other than management. Thus, the nurse who is a good nurse may become head nurse, not because of her special qualifications or ability to manage and supervise, but because of her stability or consistency of employment. And this situation can be equally true in the business office, the laboratory, the dietary department, etc.

For purposes of the CHA study, a manager has been defined as:

One who gets others to do what is to be done, when it is to be done, in the way it is to be done, and in such a way that both the supervisor and the supervised get personal satisfaction out of the job while the job is being performed.

Managers surveyed in the CHA study were divided into the following groups:

Administrators and Assistant Administrators: Those persons in key management positions not restricted to any one function.

Department Heads: Those persons in full charge of a major hospital function and reporting to top administration; these included: (a) director of nursing service; (b) director of medical service; (c) financial or business manager; (d) dietary supervisor; (e) administrative or executive housekeeper; (f) building or plant superintendent or maintenance engineer.

Supervisors: Those reporting to one of the department heads, responsible for supervising either subordinate supervisors or non-supervisory personnel.

Persons classified as Supervisors: Those who have no personnel to supervise or who are responsible for only a small unit, office, or function; as, for example, the personnel director, pharmacist, occupational therapist, chief switchboard operator, social worker, etc.

A total of 29,260 areas or topics of training needs were listed by respondents. There was an average of over 14 training need areas listed per reply, ranging from one to 19 items per supervisor response. The indicated needs were divided into 111 separate items by the researchers; of these 111 items, the most often mentioned was listed by 932 managers and the least mentioned item brought 13 responses.

Christopher (1961) observes that the comments and selections of the surveyed group brought out the following points:

1. No indication was given by the respondents for specialized knowledge or skill in their basic core of training. That is, they did not ask for more training in their professional area, but sought information dealing with "management" or "supervision."

2. The expression of needs covered many areas, showing a "broad scope of need."
3. A predominance of needs were directly related to areas of "personnel management" rather than management of other factors of production. Human relations was considered most important.
4. Top management tended to recognize a need mostly for training in the area of "management," while lower level management were more concerned with "personnel management."
5. Smaller hospitals recognize more a need for training in personnel-centered factors. Larger institutions tend more to recognize the "pure" management factors.
6. Topics were interpreted as meaning a greater concern for procedure rather than principle - skill rather than knowledge.

In Table 3-1 is the list developed by the Catholic Hospital Association. Listings are divided as to level of supervision and size of hospital. Table 3-1 is adapted from the original CHA presentation. From the list of 111 items, those selected by each group from the first choice through the twentieth are shown in the table. At the end of the table are the remainder of the items selected.

After compiling this list, the researchers presented it to "various business and industrial leaders and their training specialists." Upon completing their examination and evaluation, "each of these leaders commented that the needs listed were not training needs, but hiring specifications - that the areas specified actually constituted qualifications for one who would be a supervisor or manager

TABLE 3-1

ANALYSIS OF TRAINING NEED AREAS FOR HOSPITAL SUPERVISORS

Selection by Level of Supervision

Administration

- | | |
|---|---|
| 1. Understanding Human Relations | 11. The Supervisor's Role in Management |
| 2. Responsibilities of Management | 12. How to Justify Budget Needs |
| 3. How to Evaluate Supervisors' Performance | 13. Qualifications for the Supervisor |
| 4. Principles of Management | 14. How to Foster Good Public Relations |
| 5. Philosophy and Concept of Management | 15. Evaluating Effectiveness of Supervision |
| 6. Functions of Management | 16. Responsibilities of Supervision |
| 7. Objectives of Management | 17. Leadership Applied to Management |
| 8. How to Change Attitudes | 18. Preparing an Organization Chart |
| 9. Tools of Management | 19. How to Control Delegated Responsibility |
| 10. How to Build Good Employee Relations | 20. How to Motivate a Subordinate |

Department Heads

- | | |
|---|---|
| 1. Understanding Human Relations | 11. How to Justify Budget Needs |
| 2. Functions of the Supervisor | 12. Evaluating Effectiveness of Supervision |
| 3. Philosophy and Concept of Management | 13. Qualifications for Supervision |
| 4. Functions of Management | 14. How to Communicate with Subordinates |
| 5. Preparing an Organization Chart | 15. Principles of Management |
| 6. Responsibilities of Management | 16. Responsibilities of Supervision |
| 7. How to Train a Supervisor | 17. Objectives of Management |
| 8. How to Select a Supervisor | 18. Tools of Management |
| 9. How to Evaluate Supervisors' Performance | 19. How to Improve Inter-departmental Relations |
| 10. Objectives of Supervision | 20. How to Develop Job Pride Among Subordinates |

Table 3-1 (continued)

Middle Supervisor

- | | |
|---|---|
| 1. Understanding Human Relations | 11. Work Measurement |
| 2. How to Motivate a Subordinate | 12. How to Evaluate Employee Performance |
| 3. How to Build Good Employee Relations | 13. Responsibilities of Management |
| 4. Objectives of Supervision | 14. Functions of Management |
| 5. Functions of the Supervisor | 15. How to Determine Number of Subordinates |
| 6. How to Evaluate Supervisors' Performance | 16. How to Fit People to Jobs |
| 7. Philosophy and Concept of Management | 17. How to Schedule Work |
| 8. How to Communicate with Subordinates | 18. How to Improve Job Performance |
| 9. The Supervisor's Role in Management | 19. How to Promote Supervisors |
| 10. How to Handle Employee Grievances | 20. Qualifications for Supervisor |

Staff or Minor Supervisor

- | | |
|--|--|
| 1. Understanding Human Relations | 11. Objectives of Management |
| 2. How to Build Good Employee Relations | 12. Objectives of Supervision |
| 3. Evaluating Effectiveness of Supervision | 13. How to Evaluate Employee Performance |
| 4. Functions of the Supervisor | 14. Functions of Management |
| 5. Responsibilities of Management | 15. How to Evaluate Supervisors' Performance |
| 6. Principles of Management | 16. How to Handle Behavior Problems |
| 7. The Supervisors' Role in Management | 17. How to Organize Work |
| 8. Leadership Applied to Management | 18. How to Deal with Your Own Supervisor |
| 9. Philosophy and Concept of Management | 19. How to Change Attitudes |
| 10. Job Analysis | 20. How to Reprimand a Subordinate |

Table 3-1 (continued)

Selection by Size Hospital

1-100 Beds

- | | |
|---|---|
| 1. Understanding Human Relations | 11. Responsibilities of Supervision |
| 2. How to Build Good Employee Relations | 12. Functions of the Supervisor |
| 3. Philosophy and Concept of Management | 13. Evaluating Effectiveness of Supervision |
| 4. How to Evaluate Supervisors' Performance | 14. Objectives of Management |
| 5. Responsibilities of Management | 15. Tools of Management |
| 6. Functions of Management | 16. Objectives of Supervision |
| 7. How to Communicate with Subordinates | 17. Leadership Applied to Management |
| 8. How to Motivate a Subordinate | 18. The Supervisor's Role in Management |
| 9. Principles of Management | 19. How to Evaluate Employee Performance |
| 10. Qualifications for the Supervisor | 20. How to Develop Job Pride among Subordinates |

101-200 Beds

- | | |
|---|---|
| 1. Understanding Human Relations | 11. Objectives of Supervision |
| 2. Philosophy and Concept of Management | 12. How to Motivate a Subordinate |
| 3. Responsibilities of Management | 13. How to Communicate with Subordinates |
| 4. How to Build Good Employee Relations | 14. Responsibilities of Supervision |
| 5. How to Evaluate Supervisors' Performance | 15. Qualifications for the Supervisor |
| 6. Functions of Management | 16. Objectives of Management |
| 7. Principles of Management | 17. Tools of Management |
| 8. Functions of the Supervisor | 18. Leadership Applied to Management |
| 9. Evaluating Effectiveness of Supervision | 19. How to Develop Job Pride among Subordinates |
| 10. The Supervisor's Role in Management | 20. Preparing an Organization Chart |

Table 3-1 (continued)

201-400 Beds

- | | |
|---|---|
| 1. Understanding Human Relations | 11. How to Motivate a Subordinate |
| 2. How to Evaluate Supervisors' Performance | 12. How to Communicate with Subordinates |
| 3. Philosophy and Concept of Management | 13. The Supervisor's Role in Management |
| 4. Functions of Management | 14. Leadership Applied to Management |
| 5. Functions of the Supervisor | 15. Objectives of Supervision |
| 6. Responsibilities of Management | 16. Objectives of Management |
| 7. Principles of Management | 17. Tools of Management |
| 8. How to Build Good Employee Relations | 18. Evaluating Effectiveness of Supervision |
| 9. Qualifications for the Supervisor | 19. Preparing an Organizational Chart |
| 10. Responsibilities of Supervision | 20. How to Justify Budget Needs |

401-Plus Beds

- | | |
|---|---|
| 1. Objectives of Management | 11. Preparing an Organization Chart |
| 2. Evaluating Effectiveness of Supervision | 12. How to Control Costs |
| 3. The Supervisor's Role in Management | 13. Qualifications for Supervision |
| 4. How to Justify Budget Needs | 14. How to Motivate a Subordinate |
| 5. Objectives of Supervision | 15. Work Measurement |
| 6. Tools of Management | 16. How to Train a Supervisor |
| 7. Leadership Applied to Management | 17. How to Improve Inter-departmental Relations |
| 8. How to Communicate with Subordinates | 18. How to Understand Subordinates |
| 9. Responsibilities of Supervision | 19. How to Handle Employee Grievances |
| 10. How to Control Delegated Responsibility | 20. How to Change Attitudes |

Table 3-1 (continued)

Training Need Areas Not Included in the First 20
Choices by any Group, but Selected by Most Groups

How to Delegate or Assign Responsibility
How to Determine Needed Space or Facilities
How to Create Efficiency
How to Maintain Morale
How to Plan Management Team Functions

How to Gain Cooperation
How to Determine Workers Training Needs
Determining Need for Equipment
How to Overcome Tradition
How to Deal with Older Workers

Evaluating Financial Data
How to Work with Supervisors of Other Departments
Getting the Most Out of a Job
Work Simplification
Executive Qualifications

How to Solve Supervisory Problems
Counseling Subordinates
Controlling Use of Supplies
Setting Performance Standards
Fire Prevention

How to Control Waste
Dealing with Insubordination
Planning Work
How to Evaluate Operating Policy
Detecting Risks and Job Hazards

How to Determine What is to be Done
Getting Employee Loyalty
Decision Making
Two-Way Communication
Job-Instruction Training

Supervisors Role in Disaster Plans
Responsibility for Maintenance and Housekeeping
Delegating Authority
Work Distribution
Job Relationships

Executive Selection
Job Evaluation
Inservice Training
Training for Promotion
Disciplining Supervisors

Table 3-1 (continued)

Effective Personnel Practices

How to Control Work

Organizing a New Job

How to Solve Problems in Another Department

Orienting Workers to the Hospital

Setting up Job Specification

Job Induction Training

Dealing with Chronic Employee Problems

Trends, Techniques, Skills in Technical or Professional
Occupation

Understanding Differences in Job Relationships

Methods Analysis

Developing a Safety Program

Introducing the New Worker to the Department

Safety Training

Making Flow Charts

Preventing Accidents

Executive Training

Self-Development

Training an Understudy

Directing Workers

Job Relations Training

Training for Self Promotion

Re-training Programs

Physically Handicapped Workers

Problem Workers

Pre-Job Training

Setting Job Titles

at some level in the organization. People without these qualifications ought not to be in supervisory or managerial capacities....The industrial and business leaders considered the list of 111 needs as pre-job rather than in-service training needs....For them, supervisory development meant taking personnel who already met certain qualifications...and placing them in a training situation where they might learn to utilize their knowledge and skills to solve a variety of management problems."

One may question such evaluations by these business representatives. As shall be discussed later, the topics shown in the CHA list are basically the same as a representative outline for a management training program for business concerns. These are areas of required knowledge that business management has not yet solved completely for their own organization, but, at best, may have only preceded hospital management in recognizing the needs.

However, the point by Christopher in summarizing his review of the list is appropriate: "If a hospital is to have him [the 'better qualified' future supervisor], then that hospital must train and develop him, preferably through improvement programs for those currently employed. But with an eye to the future, that hospital must also plan and execute a program of training for those to come." For training, the challenge is identified as being three-fold:

1. Provide management personnel already on the job with training in the 111 areas of knowledge and skill listed.
2. When these managers have been trained, they should be provided with "problem solving" training as another essential phase of their supervisory development.
3. Hospitals should critically analyze the positions of supervisory personnel, extracting realistic position specifications, so that in the future, through better recruitment, pre-job training and promotion, they will be able to introduce on the management team persons qualified at least in basic knowledge and skills for the job.

Christopher (1962) has also identified those areas which he believes are generally overlooked in most management development programs. They are:

1. Job analysis: to clarify the functions and role of the supervisor by identifying the what, how, why, authority, standards. The supervisor, in turn, must identify for his subordinates, in writing, the standards, quality quantity, time, cost allocations, and final appearance of the work. Such information is found through observation and interview.
2. Clarifying accountability: this is arrived at through agreement between the superior and his subordinate. Assigning authority and accountability will stimulate work improvement.
3. Performance requirements: job analysis is required to point out special qualifications needed for any given position, to include tasks, methods, and objectives. Such analysis will indicate knowledge, skill, mental ability, physical ability, educational level, experience, etc., needed for the job. Any lack found in the individual of needed knowledge or skill points up needs for training.
4. Performance appraisal: there is a need seen for merit ratings. The author finds that "many" hospitals have such ratings for non-supervisory employees but not for management personnel.

5. Delegation of responsibility: it is desirable to require the individual to be responsible for up-grading his position. Gradually, adding to responsibility permits an opportunity to observe if the employee will accept new challenges, if he is resourceful, and if he will respond to the responsibility in a positive manner.
6. Review area objectives and management practices: this is to be done periodically by the superior and is to include: objectives of the department, plans, organization, and controls.
7. Problem solving: the superior has the subordinate manager make his own decisions and the superior then reviews these decisions with his manager.
8. Pressure for results rather than pressure to use specific tools: the author suggests that in developing improvement, it is natural to look to tools, but it is the results obtained that are what are important and should be measured.
9. Conferences: conferences are to be used between superiors and their subordinates at all levels and to look at and solve problems.
10. Learning by teaching: the manager, by teaching his subordinates, develops his own knowledge and skills and performs one of his most important duties of developing the knowledge and skills of his subordinates.
11. Stimulate interest in self development: in addition to providing more effective knowledge and performance this also leads to the subordinate's independence.

The problem

It has been observed that both their contributions to the community and their combined size make hospitals a vital and significant institution of society. Discussion has centered to this point around studies and observations by those closely associated with the hospital field, recognizing that these individuals have the most intimate

knowledge of the topic. Although it has been noted all do not agree on certain specific areas, there is a general consensus that hospitals will continue to accept further responsibilities and will continue to provide even more contributions to society. The extensive literature indicates both the importance of the problem and the extent of interest. There is detected a difference of opinion concerning the form of leadership required, but all appear to agree that effective leadership is the key to both day-to-day operations and long range developments. ✓

Having established the value of searching for the most effective means of management development in the hospital, the next task will be an attempt to identify a philosophy of hospital management as an overall framework in which a management development program can be designed.

PART II. PHILOSOPHY OF MANAGEMENT

CHAPTER IV

A GENERAL PHILOSOPHY OF MANAGEMENT

Introduction

Purpose

Man conducts most of his activities through group action within organizations. Management provides direction and stimulates motivation in these organizations.

Neither organizations nor leadership are unique to the modern world. All societies at all times have had need to organize. Men join together for companionship and for aid in obtaining common goals. However, increased interest in the subject of management has occurred mainly because the development of larger organizations has created increased organizational complexities and has separated individual members of the organization from the decision making functions. These developments have forced attention on analysis of managerial duties, organizational structure, and interpersonal behavior patterns.

The basic assumptions believed to be most crucial to a Philosophy of Management are that people are the most

important asset of an organization and those performing the duties of management have the greatest impact on the organization.

Definition of terms

Philosophy has been defined as "the science which investigates the facts and principles of reality and of human nature and conduct" (Websters New Collegiate Dictionary. Springfield, Mass.: G. and C. Merriam Co., 1949). As this definition is applied, it is assumed that management is a science. From the literature, there is not common agreement as to whether this is true; if not a science, many question if it can ever become one. It is sufficient, however, to accept that if management is not a science, it is through the most effective utilization of the sciences that management makes much of its contribution. The definition of a philosophy also requires the investigation of facts and principles. It is from facts that principles are derived, and principles are accepted when they are found to be factual. Further, the definition includes the study of reality. Certainly, a philosophy is of practical interest only to the extent that it can be applied; a philosophy is sought that is useful. Finally, philosophy deals with human nature and human conduct. This is a basic premise on which a Philosophy of Management should be based.

The organization is people and only through people will the organizational goals be reached.

Writers tend to use the terms "philosophy," "creed," and "ethics" often when referring to the same concepts. This should cause little difficulty to the discussion. A creed may be defined as "a summary of principles and opinions professed and adhered to." A creed, then, is that which is believed as a philosophy, and, perhaps most important, what is practiced. Ethics are concerned with moral qualities which are used to interpret and apply principles and practices. Further, the term Management has been defined most often in the literature as "accomplishing goals through people."

Therefore, a Philosophy of Management which is sought, by definition, envisions the attitudes related to the investigation and practices involved with the practical application of principles to be applied by a leader in his relations with other individuals in the organization for the accomplishing of organizational purposes. It is upon this concept that the following analysis is directed.

Philosophy and Conduct

General considerations

A true philosophy must contain elements applicable for all organizations, for all situations, for all individuals

and for all levels of management in an organization. To this end, there must be certain concepts, principles, and activities that are universal in concept and application. A philosophy of such scope is to be based on theory. Parsons (1954) defines theory as "a term which covers a wide variety of different things which have in common only the element of generalized conceptualization." Further, he sees that theory is needed for both "description" and "analysis." For a true philosophy the basic concepts must be found in all management. This does not ignore that each organization in its own way is unique, or that each person must pursue his own philosophy in his own way. Within any given organization, the individual manager must have a private philosophy which is compatible with those philosophies of all other managers in the firm. Especially must the subordinate managers possess a philosophy compatible with that of their superiors, and all managers must have a philosophy identifiable with the organizational philosophy.

The present approach is to bring together the major concepts found in both the general management and hospital literature, and to relate them in a meaningful manner to the demands of the modern organization. In the following discussion, use of and emphasis on certain material will be influenced by this writer's own beliefs; this should be of no great concern. This writer is a product of the same

basic traditions as most of the readers, and the discussion is concerned with managers who are also of that same tradition.

It is also to be recognized that the majority of writers reviewed are management practitioners and/or scholars of management. Therefore, many of the direct references are concerned with "business." This need be only a minor distraction for the hospital manager when it is recognized that management authorities in general as well as many successful hospital leaders accept universals of management in all forms of organizations.

At this stage in the development of a Philosophy of Management, Litchfield points out there is much yet to be accomplished. There is no general theory of administration. He finds instead only "some thought....scattered from field to field, seldom internally consistent and often unarticulated...[with a] confusion of terminology....[which has] failed to achieve a level of generalization enabling [a theory] to systematize and explain administrative phenomena which occur in related fields" (Litchfield, 1956). This has not completely limited management effectiveness, however: "Actually our practice is years ahead of our thought." Litchfield does find, nevertheless, that administration is limited until better theory does develop. "There is little prospect that the study of administration will ever approach

scientific stature unless we are able to so articulate our thought...[that is], thought set forth in straightforward propositions which we may then establish, modify or destroy as research or more careful analysis may dictate....There are urgent reasons for the early development of at least a working theory of administration....(1) [it is] virtually impossible to codify our existing knowledge without some conceptual framework...(2) as a guide to research...(3) [as a guide] to administrative behavior." Seeking a philosophy, therefore, becomes more difficult and challenging, but also more important.

There is need for universals for all organizations and a well-conceived Philosophy of Management is a logical point at which to begin. In practice, a philosophy must be positive and realistic, as well as idealistic. The organization is created to provide goods and services for the public. The manager, in guiding the organization to the fulfillment of its responsibilities, must contend with and resolve both social and organization pressures and demands. Properly, the manager has both professional and social responsibilities. The philosophy developed must relate the power of manager to his human responsibilities (Selekman, 1959, p. 16). Sheldon (1923, p. 23) even earlier noted the importance of human responsibilities by suggesting an organization "is not a machine; it is a complex form of human association."

Philosophy for the organization

All organizations have a philosophy on which they operate. It may not necessarily be well conceived or formalized into writing. The philosophy of the organization is observable in its day-to-day operations, even as an individual's attitudes are observable in his behavior. It is a major problem of the manager to reconcile the enterprise to the universals of administration. It is because all organizations have a philosophy that it is necessary the philosophy be well conceived and understood by all. The development of a management philosophy "must be done by each company and for each department and unit, and finally be each individual manager in terms of his own role in relation to the company's concept of its function and objectives" (Ohmann, 1957, p. 51). Selekman (1959, p. 4) visualizes a profession as requiring a body of knowledge, discipline, method, and code of ethics, transmitted to successive generations largely through education, institutions, and apprenticeship.

Selekman also suggests that the search for a philosophy has been forced on the manager by "a change in the social and moral climate of our times" and has "made it impossible to be content with letting matters rest at this point of competition and maximizing profits" (Selekman, 1959, p. 4). Indeed, he finds that managers are more aware

of these responsibilities than ever before, but still it is often observed that action and speeches on economics conflict with speeches on moral philosophy. This suggests the search for a unifying philosophy is far from complete.

The problem of developing and applying a philosophy is complicated because of the changing forces that affect the organization as a whole and the manager as an individual. These forces of change, for American society, include (1) loss of individual freedom; (2) decline of personal control; (3) changing incentives; (4) rise of educational level; (5) interdependence of industry; (6) management of change; (7) community relations; (8) population explosion; and (9) political relations (Ohmann, 1957). Developing a philosophy in a changing environment may be extremely difficult: "the basic nature of administration as a valuational process precludes applied principles of an absolute character. Only a stable goal and environment will permit applied propositions whose utility and validity will be manifested in most of the classes of situations to which they refer" (deGrazia, 1960, p. 566). However, within this setting of change, certain values of society have developed in which change can be guided. Ohmann (1957) identifies these as (1) a personal feeling of dignity and purpose; (2) a recognition of a need for authority; (3) a recognition of unique talents of individuals; (4) a concept of service;

(5) strivings for an increased standard of living; (6) a spirit of community; (7) a sense of mission; and (8) the profit motive. Each must be considered when defining a managerial philosophy.

Drucker relates these and similar problems to what he calls the "survival functions" of the organization. This is the "stuff" of which an organization is made; it is the reason a philosophy is required, not an excuse for ignoring the responsibility of developing one. Elements making up the survival functions are: (1) an enterprise is a "human organization" designed for joint performance and capable of perpetuating itself; (2) the enterprise exists in a society and economy; (3) the enterprise supplies an economic good and service, which is its only reason for existence; (4) constant change in the economy including changing technology; and (5) the requirement that the firm must be profitable to survive. These are seen as the "ethics" of the organization "insofar as ethics is the discipline that deals with rational value choices among means to ends. It can also be the 'strategy' of entrepreneurship. Neither 'ethics' nor 'strategy' is capable of being absolutely determined, yet neither can be absolutely arbitrary." What is needed is a philosophy which is all inclusive but also specific enough to be directly applied in any given situation. "We need a

discipline, here, that encompasses both the typical decision which adapts to circumstance and 'plays' the averages of statistical probability, and the innovating 'unique event' of entrepreneurial vision and courage breaking with precedent and trends and creating new ones" (Drucker, 1958, p. 561). Mee sums up the thinking of many in the literature when he states that "the purpose of management, and a guiding management philosophy, is to provide the thought processes for the determination of desired results...by the intelligent utilization of human efforts and facilitating resources in the best balanced interests of organized society. Management is a way of conceptual thinking for intelligent managerial actions" (Mee, 1963, p. 111).

By seeking a philosophy, management is aiming toward a profession as well. "For most people the word 'profession' connotes a foundation of science and a motive of service." The concept of service, in turn, has a "connotation of self sacrifice, of the recognition of other aims than private gain, makes it a high motive for individual lives and a social asset" (Follett, 1955). However, only a limited number of groups of managers have gone very far to carry out what is considered to be appropriate activities of a profession for managers. Activities required include: establishing, maintaining, and improving standards; keeping

members up to the standards; instructing the public in an appreciation of standards; and protecting both the public and the profession's membership from those who fail to attain or maintain standards.

Philosophy for the individual manager

All managerial roles involve authority, responsibility, decision-making, coordination, and the responsibility for others. Within the broader framework of an organization philosophy, each individual manager must have his own philosophy. This philosophy must be consistent with that of society. Yet it is possible that no two managers will have identical philosophies. Because each manager is a unique individual, his philosophy is also unique, based on personal experience, reaction, feeling, adjustment, and thinking (Liswood, 1963). His personal moral codes are independent of the position he holds (Barnard, 1960, p. 273).

The philosophy of the manager is crucial for the total organization because it is the manager to a great extent who sets codes of thinking and behavior for others (Barnard, 1960, p. 279). This is true because for many other members in the organization the superior becomes the "authority figure," the "father image." The philosophy of the manager establishes the internal organizational environment within which all other members must function, and they

must comply with standards set if they are to exist successfully in the organization.

Drucker suggests the philosophy desired is the "philosophy of individualism, of choice and free will" which can be summed up in the word "purpose"; the opposite being "limitation" (Drucker, 1954, p. 22). The manager who has the greater responsibility for a philosophy is he who controls the organization power. The manager interprets his philosophy by applying the "elements of organization" which are communication, willingness to serve, and common purpose (Drucker, p. 82). One of the greatest burdens of the manager is the making of decisions. "The executive is under the obligation of making decisions usually within approximately defined limits related to the position he has accepted..." (Drucker, p. 190). The measure of the executive and his motivation must come from within because "most executive decisions produce no direct evidence of themselves and that knowledge of them can only be derived from the cumulation of indirect evidence" (Drucker, p. 193). The executive reaches the organization objectives because of his effectiveness in dealing with others. "The general executive process is intellectual in its important aspects; it is aesthetic and moral. Thus its exercise involves the sense of fitness, of the appropriate, and that capacity which is known as responsibility - the final expression for the

achievement of cooperation. This is not an easy task.

The following is significant (Drucker, p. 259):

The limitations imposed by the physical environment and the biological constitution of human beings, the uncertainties of the outcome of cooperation, the difficulties of common understanding of purpose, the delicacy of the systems of communication essential to organization, the dispersive tendencies of individuals, the necessity of individual assent to establish the authority of coordination, the great role of persuasion in securing adherence to organization and submission to its requirements, the complexity and instability of motives, the never ending burden of decision - all these elements or organizations, in which the moral factor finds its concrete expression, spell the necessity of leadership - the power of individuals to inspire cooperative personal decision by creating faith: faith in common understanding, faith in the probability of success, faith in the ultimate satisfaction of personal motives, faith in the integrity of objective authority, faith in the superiority of common purpose as a personal aim of those who partake in it....cooperation, not leadership, is the creative process; but leadership is the indispensable fulminator of its forces.

Barnard suggests that it is the manager who provides the philosophy for the organization and that a philosophy must be based on something greater than the profit motive: "The endurance of organization depends upon the quality of leadership; and that quality derives from the breadth of the morality upon which it rests."

Basis for a philosophy

Gonzales (1961) points out that the manager's philosophy comes about through long run developments - the national culture - and more immediate developments - the decision environment and the present state of attainment.

In an attempt to answer the question, "Can the businessman apply Christianity?" John (1957) answers that Christianity offers a frame of reference by which to view the realities of business activities. In his discussion he presents elements of the Christian faith that are applicable, if not necessary, for management: the concept of God, the doctrine of creation, the nature of man, the doctrine of forgiveness, and the relation of business responsibilities to a Christian vocation. These concepts have been expanded upon and applied directly to perceiving and living by those in the Western world. The values which have been formed are: individualism, the importance of work, the belief that work in itself is rewarding, the value of self reliance, and the viewing of issues in moral terms (Sutton et al., 1956, p. 275). The United States is found to be different from the rest of the Western world in greater emphasis on individualism and practical effort. Specifically, the creed of the business leader, based on this Western tradition, includes secular and temporal concepts, the appeal of logical argument, demands for empirical description, acceptance of a belief in an ordered nature, and in a permissiveness toward others. "There is no country in the Western world in which the businessman has had the assured self-confidence in his own merits and the importance of his work which it has had in the United States" (Sutton et al., p. 275). This has

been combined with a rational criticism and an optimism about the future.

In addition, "the predominant ideology in a society tends to reflect its social structure." This has led to confidence in the practical man, in written rules, and faith in a free economy. These concepts led to the conclusions of, and were fostered by the writings of, such economists as Adam Smith, Ricardo, Malthus, and the Mills, who advocated competition, limitations set by contract, and the laws of human nature. Although time and circumstances have not always borne out their specific conclusions, the major premises on which they were based are still generally accepted. In seeking a creed with universal acceptance, the authors find some differences of opinion, but still consider the general attitudes to be "remarkably uniform." Generally accepted beliefs include acceptance of religious freedom, equality of freedom, and progress. Also commonly accepted, but not on such a universal basis, are attitudes toward security, adventure, self-reliance, productivity, and co-operation. Businessmen in establishing their creed have taken their heritage as they have found it and have applied it selectively in a manner that is "practical" and "straight-forward" (Sutton, et al., p. 284).

The authors also find a "pluralism" in American society brought about by (Sutton et al., p. 287):

1. Different social functions usually involving different social structures, as education and religion.
2. Many separate organized groups within each major functional area of organized social activity, operating with a significant degree of independence and displaying a variety of goal values, modes of action, and memberships.

Both of these factors create a lack of one generally accepted set of answers to social and other forms of questions. Further, business ideology often differs from the ideologies of other groups within the same cultural heritage and institutional framework because of:

1. The self interest theory which accepts self reliance and free enterprise which include both rational and non-rational elements.
2. The setting of approved norms and not random choices by society.
3. The complete lack of difficulties and disturbances from society and personality. These include functional problems, the natural environment, the distribution of goods and service, maintenance of order, and similar factors. For each of these no completely successful method has been found, but each create strains which become part of the normal operations of society.
4. Strains in society tending to be patterned.
5. Reactions to strains not being entirely random.
6. The patterned reaction of ideology; "the ideology is a symbolic outlet for the emotional energy which strain creates."
7. The role filled by persons with varying personalities and the roles themselves helping to create personalities.

Application of a philosophy

"Our emphasis on achievement patterns has thus led to fierce competition for high status through success in the more prestigious occupations" (Sutton et al., p. 312). Out of all this, one of the greatest problems faced by the manager is the conflict developed between norms of organization and personal feelings of attachment or responsibility to others. However, part of this conflict can be reduced when the manager is once able to interpret his actions in terms of his contributions to society; profit is related to the good of society. As a given field of endeavor is able to become more of a profession, measurements of the manager's effectiveness will be less in terms of money and more in terms of individual skill, service to society, and the favorable appraisal of fellow professionals (Sutton et al., p. 339).

The higher the manager in the organizational hierarchy, the more he is required to become a "specialist in generality." At the same time, codes of managerial behavior are, to a limited degree, made vague with ideologies and constrained by logic. In line with this, the manager may be viewed as being "anti-intellectual" to the extent that his interest is oriented more toward the "rational" and less toward "theory." Nevertheless, the practicing manager still

calls on religion to justify that he is morally on the right side of the struggle (Sutton et al., p. 358).

Whatever the inconsistencies within society, and inconsistencies of logic within the individual manager, Niles (1956) advises that managers still require standards of conduct which are constant in a given field or industry if the system is to perform effectively. For the individual manager, he suggests as "personal standards of operation" truth and objectivity, reasoned decisions, staying in channels, kindness, cooperation, loyalty, and humor.

Although some authors define a philosophy only in terms of some form of objective "proof," there are those who do not feel proof is necessary. They argue one need not justify beliefs. For Learned, Dooley, and Katz (1959) this philosophy - "articles of faith" - is based on the belief that:

1. There is an order to the universe which is God's law and represents the ultimate reality. Further, man's imperfections prevent him from fully comprehending this reality in all situations.
2. Finite man is constantly violating God's law and this demands of man a continued, profound humility.
3. Love, justice, and opportunity for self fulfillment are a general criteria for behavior but do not provide direct answers for specific situations.
4. All business situations involve conflicts of values among those concerned; therefore, all participants need to strive for common understanding and be willing to deal with conflicts.

5. Finally, God works through men. Therefore there is need to exchange views, and to seek and respect the ideas of others.

The manager can scarcely ignore personal religious values as he pursues his organizational responsibilities: "deep-seated religious convictions can secure an integrative functions since they represent the most long range of all possible goals" (Ohmann, 1955). Difficulties of supervisory relationships "spring...from one's conception of his function or role as a boss, his notion about the origin and nature of authority over others, the assumptions he makes about people and their worth, and his view of what he and his people are trying to accomplish together." Certainly, until this is accomplished, there is little opportunity for the individual to develop his own philosophy; it would appear logical to expect that until the personal philosophy is developed there is little chance to resolve these conflicts. "No doubt each company or enterprise will have to define its own long-term purposes and develop its own philosophy in terms of its history, traditions, and its real function in our economy....No one philosophy would be equally useful to all managers. The character of the organization is to a large extent, set by the top man or the top group, and it is inevitable that this be the reflection of the philosophy of these individuals. No one of us can operate with another's philosophy" (Ohmann, 1955).

Appley cautions that even with a common heritage, the responsibilities of management require even more of the manager to prepare him adequately in the performance of his duties. "Professional management is the application of scientific method to operating problems...[and] mere exposure to management and management practice is not sufficient preparation for a man to carry heavy management responsibility." He does not believe that "if a certain program of preparation is provided and an individual is exposed to it, he is automatically qualified." The effectiveness of the manager is seen in light of the performance of those whom he leads. The manager does this for his subordinates by increasing their knowledge, sharpening and adding to their skills, changing attitudes when necessary, and improving habits. This is part of professionalism as seen by Appley and "this shift to the professional manager involves certain concepts and specific activity," to include:

1. The development of a consciousness of exactly what the activity of management is, of its basic processes, and of what these processes involve.
2. Identification and recognition of the particular skills required to apply the basic processes of management to the management resources of money, materials, manpower, and time.
3. Recognition that there are tools available to assist in the application of management skills.
4. Identification of the personal qualifications required by an individual in management.

5. Specific programs which inventory the qualifications and capabilities of managers and for management; provide education, training, and guided experience for management development through both inside and outside sources; establish measurements of the effectiveness of management development.

Appley summarizes by stating that a manager should only hold his position if he is good at it, and he can only be good at it by proper preparation for the position.

Summer, in discussion of the "managerial mind," has found that it is the "orientation toward action and results and solving action problems that identifies the intellectual qualities of a professional" (Summer, 1959). This requires that the manager be logical, have a predisposition for the truth, and be consistent while possessing the ability to defend modification. The manager has the responsibility to act, but action must only follow after necessary time has been taken to think through the problem at hand. The manager's philosophy is thus related to actions which he carries out himself and the actions he directs for others, as well as the processes and considerations he makes in arriving at his action decisions.

Publics

Reasons for concern

It is precisely because there are "different social functions" and "within each major functional area of

organized social activity, there exists many separate organized groups operating with a significant degree of independence and displaying a variety of goal values, modes of action, and memberships" (Sutton, 1956, p. 287) that the term "publics" rather than "the public" must be considered. There is a great deal of dual membership between and among the various groups, but it is typically with groups that the manager must deal, and it, therefore, appears most logical to discuss the topic from this standpoint. The system under which organizations operate in Western society presupposes a market outside the organization itself, and this, in turn, requires property, private ownership, profit, and a particular business identity (Sutton et al., p. 19). The manager, in the truest sense of the term, is one who sees further than his own personal gain. Professional managers are "men who see in business something more than the mere making of money; men who are imbued with a deep sense of social stewardship; men who are keenly aware of the fact that they are the trustees of other people's money and bear heavy responsibilities to employees and the public as well as to stockholders; men who find deep spiritual satisfaction in the direction of their minds and energy toward the creation of a better and more abundant life for all of their fellow human beings" (Mee, 1963, p. 47).

It is the manager who has the responsibility to see that all publics are satisfied, while not allowing one to gain an advantage at the loss of another. The manager, therefore, becomes the mediator; he is the interpreter of society's conscience (Bowen, 1953, p. 452). Even without a "social consciousness," the manager may believe that if he does not look out for the interests of all publics he will have both unfavorable relations with them and increased outside control over his flexibility to operate and make decisions. The problems of the manager are often complicated, in addition, because of characteristics inherent in administration (Roy, 1958, p. 27):

1. The non-reproducible nature of administrative situations.
2. The impossibility to reverse a blunder.
3. The inability of the administrator to control forces at work.
4. The inability to identify all the forces at work.
5. The difficulty of quantification.
6. The absence of any but relative measures of results.

Such factors may well lead to conflict, and resolving conflict can only be accomplished through one of three approaches according to Follett (Metcalf and Urwick, 1940). These alternative approaches are domination, compromise, or integration.

In line with this, Selekman makes the observation that it is "easier" to dispense justice and be "benevolent" than to share power (Selekman, 1959, p. 24). One is forced to look at publics in seeking a philosophy, because: "It is only as management becomes involved with people - with labor, with consumers, with competitors - that moral issues arise." To the greatest degree, the manager must look to his publics for guidance because "it is exceedingly difficult, if not almost impossible, for the business community itself to enforce ethical and moral standards....There is no way by means of which to formulate an ethical code of universal acceptance" (Selekman, 1959, pp. 104-105). Certainly there are more specific means of measure and reward and punishment in the hospital field than is generally found in business, but even here most positive and negative sanctions are known only to those intimately involved within the hospital; little is known about them outside the hospital field itself.

Publics to be considered

Owners. It is to the owners that management has primary responsibility. Owners may be in a position to demand or expect different forms of relationships with the organization management, depending on the type of organization and the form of ownership.

In the organization in which the manager is the owner, the owner-manager must be a high level performer who is honest enough with himself to give objective appraisal of his own behavior and demanding enough of himself to constantly strive for the highest level of performance.

Absentee owners of firms, through stockholder shares, expect a profit to be derived from the organization through effective management. The stockholders are dependent on management to provide leadership and decision-making ability that will give the greatest return on investment. The greater the separation between owners and managers, the less the effective voice of the owners and the greater the need for a management which will conscientiously protect the owners' investment. This requires a high level of moral - in addition to legal - responsibility by management.

A second type of "absentee ownership" is found in institutions whose owners are the general public. Such an arrangement is common in the hospital field. The owners may be the members of a community, a county, or a specified tax district. Such institutions are created not to provide a profit as a primary objective, but to provide service. Owners' interests are protected by their elected and appointed representatives. Relations between management and owners may be equally as distant, in practice, as is often

the case between corporate stockholders and its management. Although the major emphasis of the public institution is service rather than profit, it is important to recognize that management which is most successful in providing maximum service also is typically most effective in controlling costs and maximizing the use of available resources.

Western philosophy calls for a humanistic approach to one's fellowman. This appears to be especially true in the United States. Therefore the concept of an organization for service is appropriate. The hospital can be seen as the embodiment of such a concept. At the same time, society recognizes the importance and appropriateness of a competitive society. The organization and its management are considered most effective when it provides services in the most economical manner. Owners of public institutions receive their expected returns when the organization provides appropriate services in the most effective manner.

Employees. Selekman (1959, p. 5) suggests that business institutions have historically been indifferent and callous to the welfare of workers. This is reflected in such economic and philosophical concepts as viewing labor as a commodity and wages as a price (Adam Smith), believing that workers must live at a subsistence level (Malthus), and the belief that only the most fit will survive (Darwin; Herbert Spencer). As moral considerations have become a

greater part of public philosophy, both government and labor unions have stepped in to limit management's power.

Selekman cautions management to remember that they are dealing with human beings and that the manager has the greatest effect on his own ability to deal with them. "Once he [the manager] takes a negative attitude toward human beings, it becomes difficult, if indeed impossible, for him to inspire men with confidence in the integrity of his leadership" (Selekman, p. 51). For example, wages should not be a reflection of the bargaining strength between management and the employees, but more properly the result of considerations about the job such as its characteristics, the training, skill, and experience required, as well as the working conditions and the responsibilities imposed.

However, if the Western philosophy recognizes the dignity of man, it becomes evident that more than monetary considerations are necessary. Drucker believes that it is strange for managers while speaking of individual growth and development by implying that "the human being himself determines what he contributes," will "habitually define the rank-and-file worker...as a man who does as he is directed, without responsibility or share in the decisions concerning his work or that of others." This does not mean that all employees can or will provide all the answers needed

in their own area of responsibility. It is expedient, however, to maximize on the potential which is available. "No organization can depend on genius; the supply is always scarce and always unpredictable. But it is the test of an organization that it make ordinary human beings perform better than they are capable of, that it bring out whatever strength there is in its members and use it to make all the other members perform more and better" (Drucker, 1954, p. 1945). What must be demanded of the manager, then, is that "work must always be organized in such a manner that whatever strength, initiative, responsibility and competence there is in individuals becomes a source of strength and performance for the entire group" (Drucker, p. 265).

Drucker presents two "blind spots" of management which lead to resistance by workers. One of these is the "scientific management" concept that says work must be organized as a series of individual motions, assuming that the human being is a machine; the second blind spot is that of divorcing planning from doing. Drucker sees a need for the proper relationship between breaking down the task into separate parts and the performance of a meaningful, productive job (Drucker, p. 282). Cleeton argues that work is inherently challenging to the worker, but this potential satisfaction is often dissipated to such an extent that many jobs become dull, uninteresting, and frustrating.

Efficiency is seen as an appropriate management objective because it leads to greater productivity, benefiting consumers and workers, but "mere production efficiency as such is remote satisfaction to the worker because he responds to his work in terms of personalized desires and needs" (Cleeton, 1951). "The work of the surgeon is based on the most minute breakdown of the job into individual motions....There is constant effort to improve each of these motions....The motions themselves are performed in a rigid, predetermined sequence....[but] we have one man do the whole job" (Drucker, p. 294).

The demands of the professional employee are even greater than for most other types of employees: "He must be a professional, yet must both make a contribution to the enterprise and know that he makes one and what it is. He must have opportunities for promotion as a professional employee and individual contributor. He must have financial incentives for improved performance....His job must be that of a professional. He needs professional recognition both inside the enterprise and in the larger community" (Drucker, p. 333).

Labor has been equated with management in the formula: Management = Process + Objective + Human Effort (Mee, 1963, p. 9). As the manager becomes more of a professional himself, Mee suggests that the "future utilization of people

will center around (1) the market for their skills and talents and what they can produce; (2) the adjustment of human efforts to technological advances in labor-saving equipment; and (3) the influence of power groups (labor unions, political factions, religious organizations, and educational institutions) on the workers attitudes toward productivity and progress" (Mee, p. 80). In fact, Mee relates the philosophy of management to workers: "The purpose of management, and a guiding management philosophy, is to provide the thought processes for the determination of desired results and the subsequent achievement of the intelligent utilization of human efforts and facilitating resources in the best balanced interests of organized society" (Mee, p. 101). Barnard (1960) relates the purpose of organization and the functions of management in the organization to "cooperation."

To counteract certain negative influences of the work place, Cleeton (1951) suggests factors which positively motivate employees:

1. Leadership which the employee can like, respect, and admire.
2. Surroundings which promote physical well-being.
3. Acceptance as a recognized member of the group.
4. Recognition as an individual; recognition as a partner, not a servant.
5. Fair treatment in relation to others.

6. A reasonable sense of permanence.
7. Knowledge of the results of his efforts.
8. Knowledge of the organization plans and policies.
9. Approval for special effort or good results.
10. Respect for his religious, political, moral, and social beliefs.
11. Evidence that other workers are doing their share of total production.
12. A friendly atmosphere in which the employee is considered with respect by his fellow workers and his superior.

When analyzing organizational members, Gulick (1937) suggests that each worker be characterized by and considered in terms of:

1. The major purpose which he serves; his job.
2. The process used in his job, such as engineering, medical, or accounting.
3. The persons and things which the person deals with in his job.
4. The place where the individual renders his services.

An awareness of the needs of employees is most crucial at the highest levels of the organization because it is at this level that the major decisions are made affecting all organization employees. Yet it is at this very level that management is most concerned with such factors as quality, quantity, and costs, and less with the needs of employees (Likert, 1961, p. 19). This is indeed unfortunate if the statement by Drucker is accepted: The "resources capable

of enlargement can only be human resources. All other resources stand under the law of mechanics" (Drucker, 1954, p. 12).

The general public and the organization's clientele.

Follett (1955, p. 14) presents as one of the requirements for a profession that it protect the public from those individuals who have not attained standards or willfully do not follow them. Without a true profession, this means that the manager is guided basically by his own "philosophy." The hospital management, as well as numerous departments within the hospital, have "professional" organizations and codes of conduct. In certain cases, standards established are supplemented and enforced for the protection of the public by governmental agencies. Nevertheless, the greatest part of the controls of these standards still must come from within the individual.

Serving the public does not lie wholly in obeying the public. From his own position the manager must make decisions that relate to the public, and must compare and balance the demands made by the public against the demands of the other publics with which he must deal (Follett, p. 16).

Mee points out both the manager's dependency on and influence on the philosophy of the culture when forming his own philosophy. "There is evidence to support the assumption

that a management movement, with supporting management thought and theory, arises in a nation when the political and economic climate provides the proper personal ownership motivations, and the public and private national leaders choose appropriate philosophy and scientific conceptual frameworks for progress and freedom of choice among the citizens" (Mee, 1963, p. 29). Sutton (1956, p. 355) believes that all organizational action must be interpreted in terms of its contribution to society.

The organization can only justify its founding and continued existence to the extent that it serves in effectively meeting the needs of its clientele. Management, more than any other group, sets and interprets institutional goals and objectives. To do this successfully, demands of the manager a sense of responsibility and an appreciation of public desires. The position of the institution must be properly explained to the public; the desires of the public must be properly translated to the other groups to whom management has responsibilities.

The organization is a social institution and is designed to serve a social function. Whenever a monopoly situation occurs - as is often the case of hospitals - there is less pressure to seek and provide constantly improved service. In such situations, the management must have a great feeling of responsibility and have sincerely identified

its philosophy as it relates to the public which is dependent on the organization.

Government. With the great amount of interdependence of the various publics of modern American society, "there can be little social action in America without involving some level of government..." (Sutton, 1956, p. 286). Therefore, any serious discussion of management and organization must ultimately consider the relationship to government. At least part of government controls have come about through moral considerations reflected in control of management's power for "either we all [in management] make a voluntary sacrifice together...or government must introduce...measures which really make sacrifice as uniform as possible" (Selekman, 1959, p. 37). On the other hand, organizations do not want to completely dispense with government activities: "Hardly a business exists that does not want the government to do, or not do, something for it" (Selekman, p. 40). The hospital is an excellent example of the type of institution in our society which seeks governmental aid - as the Hill-Burton program - but resists government controls - as is exemplified by the active lobbying of the American Hospital Association to keep hospitals exempt from various federal wage and hours laws.

At the same time that government is increasing its activities in various forms of American life, management is

being encouraged to take more active interest in government by critical analysis and participation. It can be argued that analysis and criticism of the government should be performed quite logically by management, because management itself contains elements of legislative, executive, and judicial functions (Selekman, p. 75). Those institutions which the manager directs are likely to come under even greater government scrutiny because "the greater the commitment to social responsibility, the greater the likelihood that business will be blamed..." (Selekman, p. 106). There was, for example, the legislation of the 1930's directed toward the control of business. Selekman sees that when a nation has a government which acts as representative for the entire community, that government must assume responsibility and take appropriate action. If management does not properly meet its responsibilities, the government will step in and do it because "unless equity is done, constitutionalism loses its vitality" (Selekman, p. 219). Functions of government are a part of the philosophy that recognizes the importance of group action; depending too much on government action is contrary to the philosophy of individuality. Resolving and balancing these concepts is much the responsibility of management.

General considerations. The various publics with which the manager deals gradually reduce freedom and

flexibility to act. The manager is best able to perform his responsibilities and retains his greatest freedom to act when he successfully and voluntarily integrates the needs and demands of all parties involved. Ideally, the manager is in his position because of his proven ability to perform successfully. "Unless the manager is able to pay his own way and turn others capital, labor, and materials into a profit, he will not attract any of them" (Selekman, p. 86).

Having established the reasons a philosophy is necessary, and suggesting the basis on which it is established, attention can now be directed to the manager as an individual and as an office holder who is the designer and practitioner of the philosophy.

CHAPTER V

THE ROLE OF THE MANAGER

Personal Characteristics

Search for managerial qualities

The attempt has been to describe a philosophy of management. In doing this it is appropriate to learn, if possible, what characteristics as well as what functions are desirable for the manager. Related topics will be pursued in the following discussion.

It is of importance to discuss if there are identifiable characteristics of the successful manager. If such identification can be made, it would aid to both in locating and developing management personnel. All managers properly should concern themselves with what contributes to their effectiveness. There has been much debate as to whether great men cause great events or great events cause men to be great. There are certain attributes - physical, mental, and psychological - that are characteristic of the superior leaders. Most, if not all, of the most significant characteristics can be improved. To improve, however, the individual must have enough personal integrity to be self critical, and be willing to accept the challenge of self improvement.

This relates properly to a philosophy that is required of the manager. Man is fallible. In an ordered universe, various components can be identified and analyzed, and maximum use made of them. There is a uniqueness of man. The concept of the dignity and intelligence of man recognizes that man deserves - is responsible - to improve.

Identification of managerial qualities

Personal qualities and training.-One of the earlier industrial leaders of this century has compiled a list of "managerial qualities and training" believed to be significant for a successful manager. From a search of the literature, little has been found in more recent writings that would tend to significantly add to or take away from this list. The list includes (Fayol, 1949):

1. Physical:

- a. Health
- b. Vigor
- c. Appearance

2. Mental:

- a. Ability to understand and learn
- b. Judgment
- c. Mental vigor
- d. Adaptability

3. Moral:

- a. Energy
- b. Firmness
- c. Willingness to accept responsibility
- d. Initiative
- e. Loyalty
- f. Tact
- g. Dignity

4. Qualities of a general education.
5. Special knowledge.
6. Experience.

Each of these qualities is a part of the total man - the total manager - contributing to the creation of his philosophy; they are also partly the products of his philosophy. If the individual is in good health and is energetic, he will seek new challenges; if his philosophy recognizes the importance of good health to perform well, he will take care of his health as part of a continuing program. If the individual is mentally alert and possesses a high innate mental capacity, he will tend to be interested in new ideas and seek various forms of mental stimulation; if his philosophy includes a recognition of the value of learning and the effect that good mental health has on his general attitude and his effectiveness, he will seek mental challenges both on and away from the job. If the manager is alert to the need for moral qualities to provide for the most effective management - as well as the most rewarding way of life - he will look for ways to develop and measure himself on such factors as his attitudes toward accepting responsibility, in the development of initiative, and the feelings of loyalty he possesses to all those to whom and for whom he is responsible.

Skills.-Payol (1949) also identifies "activity skills" required of the manager:

1. Technical: Production
2. Commercial: Buying, Selling, and Exchange
3. Financial: the search for and optimum use of capital
4. Security: protection of property and persons
5. Accounting: to include statistics
6. Managerial: the "functions of management" (to be discussed later).

All managers to a greater or lesser degree perform all of these activity skills. The duties of the particular position will dictate the significance of each. Managers should be aware that other managers are also performing these skills. With proper recognition of these areas, the manager can be more efficient. The manager can concentrate on those in which he is the weakest to develop himself to become more efficient. Senior managers can analyze these skills in their subordinates as a means to aid them in improving their performance.

Functions of Management

"The first step in analyzing the task of managing is to break down the managerial job into those functions that distinguish it from operating tasks such as selling, manufacturing, accounting, engineering, and purchasing, which

the business or other enterprise may undertake to gain its objectives. Although such activities may differ from one business to another or between a business enterprise and such other operations as a government, a university, or a church, the functions of the manager tend to be universal and common to all organized human activity" (Koontz and O'Donnell, 1959, p. 35). The very definition of management assumes "functions": "Management is the process of setting and achieving objectives or desired results in an environment by the use of people and facilitating resources" (Mee, 1959, p. 54).

It is appropriate at this point to give some consideration to those activities that are truly unique to the manager and which characterize the manager's duties from those holding non-managerial positions. Although most authors in the management field agree in general on the activities included within the functions of management, not all agree as to exactly what categories or terminologies are most accurate. For example, Mee (1963, p. 13) classifies the functions of management as Planning, Organizing, Motivating, Controlling, and Innovating; Gulick (1937) lists Planning, Organizing, Staffing, Directing, Coordinating, Reporting, and Budgeting.

The following discussion will utilize mainly the classifications presented by Koontz and O'Donnell (1959),

with supplemental materials of other writers in the field. The functions of management as enumerated by the latter authors are Planning, Organizing, Staffing, Directing, and Controlling. The discussion is intended to point out briefly some major considerations as applied to management functions and is not intended to be exhaustive in nature.

Planning

Definition.--"Planning is the function of selecting the enterprise objectives and the policies, programs, and procedures for achieving them. Planning is, of course, decision making, since it involves choosing among alternatives. Policies, programs, and procedures encompass the entire enterprise operation" (Koontz and O'Donnell, p. 35). By the nature of their duties, all managers plan. In the sense of good management practice, planning should be done by all those who have the responsibility to carry out the plans. To Mee, planning is the "visualization and determination of any array of future actions that will lead to the realization of desired results" (Mee, 1963, p. 60). Planning is a continual process. Once plans are made at the top levels of the organization, subordinate plans are necessary to implement them; old plans must be adjusted and changed to meet new situations.

Decision making and policy formulation.-Included in planning is decision making, the setting of goals and objectives to reach desired results. Planning also includes policy formulation defined as the general thought and action guides to goal achievement (Mee, p. 55). Planning is the development of a course of action to establish goals within the policies. "Every plan and all its derivatives must contribute in some positive way to the accomplishment of group objectives" (Koontz and O'Donnell, p. 453). A plan is considered to be efficient when, and only when, it brings about the attainment of objectives with a minimum of unsought consequences and with results greater than the costs.

Objectives.-Objectives (called goals by many authors) are the ends toward which group activity in an organized enterprise is aimed. "Although the enterprise objectives constitute the basic plan of the firm, a department may also have objectives or goals. The goals of the department naturally contribute to the attainment of enterprise objectives, but the two sets of goals may be entirely different" (Koontz and O'Donnell, p. 456). Possible goals selected may be the making of a profit, empire building, power, social prestige, security, public acclaim, the desire to develop new things, and/or increasing the value of the organization. "It is, then, the first responsibility of top management to ask the question 'what is our business?'

and to make sure that it is carefully studied and correctly answered" (Drucker, 1954, p. 50). Yet in searching for the "one right objective" it "is not only unlikely to be as unproductive as the philosopher's stone; it is certain to do harm and misdirect." However, the manager must establish objectives. "Objectives are needed in every area where performance and results directly and vitally affect the survival and prosperity of the business....Objectives in these key areas should enable us to do five things: to organize and explain the whole range of business phenomena in a small number of general statements; to test these statements in actual experience; to predict behavior; to appraise the soundness of decisions when they are still being made; and to enable practicing businesses to analyze their own experience and, as a result, improve their performance" (Drucker, p. 62).

Drucker lists eight areas in which objectives of performance and results are to be established: market standing, innovation; productivity; physical and financial resources; profitability; manager performance and development; worker performance and attitude; and public responsibility. "A manager's job should be based on a task to be performed in order to attain the company's objectives. It should always be a real job - one that makes a visible and, if possible, clearly measurable contribution to the success

of the enterprise. It should have the broadest rather than the narrowest scope and authority..." (Drucker, p. 137). It is required that there be a "rational and systematic approach to the selection and balance among objectives so as best to provide for survival and growth of the enterprise." As indicated previously, these responsibilities may be related to the philosophy of management: "These can be called the 'ethics' of business enterprise, insofar as ethics is the discipline that deals with rational value choices among means to ends. It can also be the 'strategy' of entrepreneurship. Neither 'ethics' nor 'strategy' is capable of being absolutely determined, yet neither can it be absolutely arbitrary....We need a discipline, here, that encompasses both the typical 'decision' which adapts to circumstance and 'plays' the averages of statistical probability, and the innovating, 'unique event' of entrepreneurial vision and courage breaking with precedent and trends and creating new ones....Such a discipline can never be more than...a safeguard against oversight, an appraisal of risks, and, above all, stimulant to independence and innovation" (Drucker, 1958). No matter how systematic, sophisticated, and methodical the accumulation and analysis of information for the making of decisions and the selection of objectives, it is still the manager who must provide the final answer.

Procedures.—"Procedures are also plans, for they involve the selection of a course of action and apply to future activities. They are truly guides to action rather than to thinking, and they detail the exact manner in which a certain activity must be accomplished. Their essence is chronological sequence....[They] exist throughout an organization, even though, as one might expect, they become more exacting and numerous in the lower levels, largely because of the necessity for more careful control, the reduced need for discretion in action, and the fact that the things done lend themselves to obtaining greater efficiency through prescription of the one best way" (Koontz and O'Donnell, p. 459).

General.—Throughout the total planning stage, it is appropriate to recognize that theory and practice are inseparable. It is in planning that the manager will bring together the concepts of service, the theory of organization, the theory of managerial concepts, and his own philosophy of management. These are related to his perception of his particular situation in terms of what the firm is expected and able to do, what resources including people are available to do the job, how the manager believes he is able to perform, and what he as an individual feels are the contributions that should and can be performed. The breadth of planning is influenced by how the manager looks at all the

factors. If the manager views certain forces within and outside the organization as helpful and encouraging, his approach will be different than if he views the same forces as threatening. Many of the forces with which he must deal are of an intangible nature - difficult to identify, measure, or control. The more systematic the approach and the more confidence the manager has in his world and in himself, the more will he view these elements in a manner so that they are more likely to be dealt with effectively. The more the manager has faith in his own ability, a positive attitude about his world, and confidence in the people around him, the more he will feel a justification for being systematic in his approach to planning.

To a great extent each person creates his own situation. The ability to effectively live in the world is an individual matter that comes from a particular attitude toward life, and, for the manager, his attitude toward his position.

Organizing

Definition. - "The organizing function of the manager involves the determination and enumeration of the activities required to achieve the objectives of the enterprise, the grouping of these activities, the assignment of such groups of activities to a department headed by a manager, and the delegation of authority to carry them out" (Koontz and

O'Donnell, p. 36). Each separate unit of an organization is judged in light of how well it contributes to the objectives of the enterprise.

Principles of management.-Many authors have listed "principles" of management. The number and terminology are often different, but there tends to be a general consensus of meaning. The list by Raube is indicative:

1. The need for clear lines of authority running from top to bottom in the organization.
2. No one in the organization should report to more than one line superior.
3. Responsibility and authority of each supervisor should be clearly defined in writing.
4. Responsibility should always be coupled with corresponding authority.
5. Responsibility of higher authority for the interests of its subordinates is absolute.
6. Authority should be delegated as far down the line as possible.
7. The number of levels of authority should be kept at a minimum.
8. The work of every person in the organization should be confined as far as possible to the performance of a single leading function; that is, specialization is a key to efficiency.
9. Whenever possible, line functions should be separated from staff functions, and adequate emphasis should be placed on important staff activities.

It appears more correct to consider such lists as "guides" rather than "principles." The statement by Seckler-

Hudson is appropriate: "The position that there are subordinate principles governing each of the processes might be validated. However, at the present stage of development in administrative matters, it is doubtful whether these 'practices' can actually be classified as 'principles.' It would seem sounder to project criteria or check lists, in the form of questions, that may be useful in the checking of the application of the principles" (Seckler-Hudson, 1955). By whatever name, however, these guides are not to be overlooked: "Many of the criteria...may seem obvious, but experience indicates that it is frequently the obvious that is most neglected or overlooked." Simon suggests that management as a separate discipline is not yet ready for principles: "Before a science can develop principles, it must possess concepts...The first task of administrative theory is to develop a set of concepts that will permit descriptions in terms relevant to the theory, of administrative situations. These concepts, to be scientifically useful, must be operational, that is, their meanings must correspond to empirically observable facts or situations" (Simon, 1958, p. 37).

Delegation.--With organizational growth, the chief executive will eventually find he can no longer properly manage the increasing number of subordinates. He will group them in departments and appoint a manager for each.

The process of departmentation of any enterprise consists of a definition and enumeration of individual tasks, a grouping and classification of the tasks, the delegation of authority for their accomplishment, and the specification of authority relationships (Koontz and O'Donnell, p. 65).

"Just as authority is the key to the manager's job, delegation of authority is the key to organization" (Koontz and O'Donnell, p. 85). Authority is delegated when organization power is vested in a subordinate by a superior. It involves the assignment of tasks, the delegation of authority for accomplishing these tasks, and the exaction of responsibility for their accomplishment. The "art of delegation" requires of the superior (compiled from Koontz and O'Donnell, pp. 91-93, and Corson, 1956):

1. Personal receptiveness to the ideas of others; a willingness to give other people's ideas a chance.
2. Willingness to "let go."
3. Willingness to let others make mistakes as an investment in the development of people.
4. Willingness to trust subordinates.
5. Willingness to forego the luxury of "blowing his top."
6. Willingness to establish and exercise broad controls over results.

To make delegation effective, the superior must (Koontz and O'Donnell, pp. 98-99):

1. State plans and policies clearly.
2. Define job assignments and authorities in the light of what is expected.
3. Select the man for the job in the light of the job expected.
4. Maintain open lines of communication.
5. Establish proper controls.
6. Reward effective delegation and successful assumption of authority.

The factors determining the degree of delegation of authority are numerous (Koontz and O'Donnell, pp. 198-208):

1. Costliness of the decision: The more costly a decision will be to an organization, the more likely the decision will be made at the upper organizational levels.
2. Uniformity of policy: Generally, it is easier to retain uniformity if all decisions come from a central, top management position.
3. Economic size: The larger the size of an organization, the more decisions there ordinarily are to be made, the more the places at which they must be made, and the greater the problem of coordinating them, the more likely decentralization will be introduced. This makes possible speedy decisions, saves executive time, reduces paper work, and tends to improve decision quality by reducing their magnitude to manageable proportions.
4. Decentralization of performance: Authority tends to be decentralized when performance is decentralized.
5. Organizational dynamics: If an organization is growing rapidly and facing complex problems of expansion, managers responsible for top policy may be forced to make a greater proportion of the decisions. On the other hand, just the opposite may occur when top management finds too many changes occurring too rapidly. They may be forced to delegate authority. Older, well established organizations tend to become more centralized.

6. History of the organization: Growth patterns and management personalities in the past will have an influence on the amount of centralization.
7. Desire for independence: As various departments in the organization demand greater recognition, status, or autonomy, there is the greater likelihood of increased decentralization.
8. The availability of managers: The scarcity of managerial manpower necessarily limits the extent of decentralization of authority. However, decentralization itself, properly handled by superior managers, can well be one of the best training grounds for managers by providing them with actual experience.
9. Control techniques: The delegating manager may desire to delegate only to the extent that he is assured that the subordinate manager will use the authority as intended. Improvements in statistical devices, accounting controls, and other techniques have made possible the current trend toward extensive managerial decentralization.
10. The philosophy of management: The character of top management and the philosophy held by it will have an important influence on the extent to which authority in an organization is decentralized.
11. Environmental influences: Many elements are beyond the direct control of organization management, as government controls and employee associations.

Decentralization.--Related to delegation is decentralization. Any discussion of decentralization or delegation must be in terms of "how much," not "whether or not," because there is always some delegation in all organizations. To the extent that authority is not delegated, it is centralized at the top management levels. The amount of decentralization in an organization can be identified in terms of (Dale, 1952):

1. The number of decisions made at the lower levels of the management hierarchy.
2. The number of more important decisions made at the lower levels of the management hierarchy.
3. The number of functions affected by decisions made at lower levels.
4. The amount of checking required on the decisions made at lower levels.

As a guide to a "philosophy of decentralization," Cordiner (1956, pp. 50-52) provides the following list. He believes that successful decentralization:

1. Places authority to make decisions at points as near as possible to where actions take place.
2. Is likely to get best over-all results by getting greatest and most directly applicable knowledge and most timely understanding actually into play on the greatest number of decisions.
3. Will work if real authority is delegated; not if details have to be reported or checked first.
4. Requires confidence that associates in decentralized positions will have the capacity to make sound decisions in the majority of cases. The example must start at the top management levels.
5. Requires understanding that the main role of staff or services is the rendering of assistance and advice to line through a relatively few experienced people, so that those making decisions can themselves make them correctly.
6. Requires realization that the natural aggregate of many individually sound decisions will be better for the organization and for the public than centrally planned and controlled decisions.
7. Rests on the need to have general organization objectives, organization structure, relationships, policies, and measurements known, understood, and followed, but realizing that definition of policies does not necessarily mean uniformity of methods executing such policies in decentralized operation.

8. Can be achieved only when higher executives realize that authority genuinely delegated to lower echelons cannot, in fact, also be retained by them.
9. Will work only if responsibility commensurate with decision making authority is truly accepted and exercised at lower levels.
10. Requires personnel policies based on measured performance, enforced standards, rewards for good performance, and removal for incapacity or poor performance.

"If the principal key to enterprise efficiency lies in the coordination of people, it is logical that those who are responsible for this coordination should have the requisite authority to manage and that this authority in turn be pushed down into the organization as far as management positions exist" (Cordiner, 1956).

Line-Staff relationships.-Another consideration included in the organization function is that of the relationship between Staff and Line. Line functions may be defined as those having "direct responsibility for accomplishing the objectives of the enterprise" whereas Staff - unlike the concept of "staff" used most commonly in the hospital - refers to those in the organization that "help the line to work most effectively in accomplishing the primary objectives of the enterprise" (Allen, 1956, pp. 12 and 20). Basically, the Line may be considered as those responsible for the decision making and order giving functions, and the Staff as those who provide advice and service to the Line to aid them in fulfilling their responsibilities. In a business

organization, line would include, for example, production and sales; in the hospital, the administrator and nursing supervisor would be examples of line managers. Some authors divide the discussion of the Staff into two parts: Staff are those who give advice and Service Departments are those who provide services. For both business and hospitals, Staff would include accounting, personnel, and maintenance.

"The basic nature of staff as an advisory relationship amply characterizes the nature of staff authority. Although the staff officer may exercise line authority over the subordinates in his department, to the extent that his position is purely staff he has no other line authority. The information he furnishes or the plans he recommends flow upward to his superior. If they are to be transformed into line action, it is the function of the line superior so to decide" (Koontz and O'Donnell, p. 145).

Often staff members may be given "functional authority" over certain line activities. The staff's superior line manager delegates authority to him to transmit information, proposals, or advice to the delegating line manager's subordinates. The staff specialist might be allowed to consult with subordinate line managers and explain to them how certain information should be used or how recommendations should be put into effect. There are also cases where it may be advisable for staff members to prescribe processes,

methods, or policy to be followed in all subdivisions of the organization. Functional authority of staff may be used for any of the following reasons: the line manager lacks the special knowledge necessary for a particular task, the line manager lacks the ability to supervise a special process, and/or in cases where there is danger of diverse interpretation of policies and procedures.

"Functional authority is thus usually limited to the area of 'how' and sometimes 'when,' but seldom applies to 'where,' 'what,' or 'who'" (Koontz and O'Donnell, p. 151). It is probably desirable to limit functional authority if there is a question about applying it. At most, the level of functional authority of any manager should probably not extend beyond the first level of organization below that of his own superior.

Staff activities are most likely to make the greatest contribution when certain criteria are met (Koontz and O'Donnell, pp. 170-173):

1. Mutual understanding between line and staff of their responsibilities.
2. Line should learn to listen to the staff.
3. Line has the responsibility of keeping the staff informed so that the staff can be of greatest assistance.
4. Staff should present clear recommendations based upon full consideration of a problem, with clearance from persons importantly affected, with suggested measures to avoid difficulties, and with proper paper work so that the line manager can accept or reject proposals without further study.

5. Staff work should become an organizational way of life.

Dangers inherent in organizing.-Merton (1940) warns that although organizing itself is necessary, it can lead to undesirable consequences inherent in a bureaucratic structure. An effective organization demands rules which provide reliability of response and respect of regulations. The difficulty occurs when devotion to rules rather than concentration on the purposes for which the rules were designed becomes the paramount interest of the organization members. Strict adherence to rules interferes with a ready adoption to special conditions; the organization tends to lose its flexibility and adaptability. Therefore, the very elements which are designed for efficiency can produce inefficiency in specific instances. It is for the manager to anticipate, to be alert for, and to guard against such possibilities.

Summary.-The "starting point of any analysis of organization cannot be a discussion of structure. It must be an analysis of the business....There are three specific ways to find out what kind of a structure is needed to obtain the objectives of a specific business: activities analysis; decision analysis; relations analysis" (Drucker, 1954, p. 194). "Good organization structure does not by itself produce good performance....But a poor organization

makes good performance impossible..." (Drucker, p. 224).

"Work must always be organized in such a manner that whatever strength, initiative, responsibility and competence there is in individuals becomes a source of strength and performance for the entire group" (Drucker, p. 265).

Staffing

Definition.-Staffing is "the executive function that encompasses the recruiting, selection, training, promotion, and retirement of subordinates" (Koontz and O'Donnell, 1959, p. 305).

Responsibilities of management.-In the development of future managers, there is need for direction from top policy makers. They have the duty of developing policy, assigning the mechanical execution of it to some subordinate, and making certain that the program is being properly carried out. Drucker points out that "the human resource is of all economic resources the one least efficiently used, and that the greatest opportunity for improved economic performance lies in the improvement of the effectiveness of people in their work" (Drucker, 1954, p. 255). It is as much the duty of a manager to look to the development of his successor as it is to the organization and its separate departments. The quality of executive personnel needed in the organization is vitally affected by the purpose and policies to be followed.

The managerial job is complex. The number of managers needed in an organization depends upon its size, the complexity of the organization structure, the plans for expansion, and the number of changes in managerial personnel.

Managerial appraisal is valuable so that each manager can be evaluated against the management action required by superiors and against the standard of adherence in practice to management "principles." Appraisal also aids in selection. Further, appraisal aids the superior to develop his subordinates, and provides a guide for the individual manager in self development. Factors that appear most often in appraisal programs are: intelligence, breadth of interests, analytical ability, ability to communicate, drive, and personality (Koontz and O'Donnell, p. 344). Managerial development, to include appraisal, is the major goal of this paper and will be discussed more at length later.

A philosophy that recognizes an organized world, recognizes that it is possible to evaluate people to find who will most adequately fit a particular job. It recognizes some individuals can perform more effectively on one job than on another. One of the most important aspects of such a philosophy is that people can be developed beyond the level at which they became members of the organization. There appears to be some confusion in thinking by those who believed that while a minimum period spent in training the

new employee is valuable, supplemental, on going training is not necessary. This neither fits the philosophy that seeks the most productive organization, nor does it fit the philosophy that recognizes the dignity and ability of man. It is recognized that improved operation can be developed by systematic planning; it therefore follows that improvements can further be obtained by systematic organization and development of the people utilized.

Directing

Definition.-Direction is "the executive function of guiding and overseeing subordinates" (Koontz and O'Donnell, 1959, p. 389). Some authors prefer to substitute for directing the term "motivating" which is defined as "creating and maintaining the desire of all persons in the organization to achieve the predetermined objectives in accordance with plans and policies" (Mee, 1963, p. 65).

If work is not inherent in man, he was not long in being introduced to it. "Work was not, Genesis informs us, in man's original nature. But it was included soon after.... Only the relationship to his Creator and that to his family antedate man's relationship to his work; only they are more fundamental, and together with them the relationship to his work underlies all of man's life and achievements, his civil society, his arts, his history" (Drucker, 1954, p. 262).

Prerequisites.-Koontz and O'Donnell (p. 407) discuss the "prerequisites in direction of subordinates":

1. Understanding the environment of decisions: All persons tend to be more effective in achieving the purposes of the organization if they are given the "reasons why" for an order.
2. Interpretation of authority relationship: The superior who makes certain that his subordinates understand the different types of authority is able to obviate many difficult situations that commonly occur in the interrelationships of individuals. Organizations need to be based upon trust, and managers who are well chosen in the first place must be trusted by their superiors to act in good faith in a common sense manner.
3. Interpretation of policies, procedures, and programs: A common understanding by subordinates keeps them from embarking on duplicative and uncoordinated activities. It is difficult for subordinates to achieve a common understanding of them by their own efforts.
4. Facilitating coordination among subordinates: Coordination is difficult. The manager can create the best conditions for securing coordination of subordinate effort if he is efficient in planning, organizing, and staffing.

Superior-subordinate relationships.-Although superior-subordinate relations are inherent and necessary in the organization, Drucker adds a word of warning: "Fear....corrupts both him who uses fear and him who fears....[However,] to remove fear does not by itself motivate. All it creates is a vacuum" (Drucker, p. 264). Further, it is not enough to assume that merely giving orders and paying subordinates for their efforts will obtain the performance desired. "A fair day's labor for a fair day's pay...assumes a system of

production under which the worker does nothing but what he is being told to do....The enterprise must expect of the worker not the passive acceptance of a physical chore, but the active assumption of responsibility for the enterprise's results" (Drucker, pp. 267-268).

Drucker (p. 303) lists four steps by which the manager can aid the worker in simultaneously reaching his own and the organization goals: (1) proper placement; (2) establishing high performance standards; (3) providing the worker with the information needed to control himself; and (4) providing opportunities for worker participation that will give them managerial vision. The one contribution that the manager is uniquely expected to make is to "give others vision and ability to perform. It is vision and moral responsibility that, in the last analysis, define the manager" (Drucker, p. 350).

Controlling

Definition.-Control is the "measurement and correction of the performance of subordinates in order to make sure that enterprise objectives and the plans devised to attain them are accomplished" (Koontz and O'Donnell, p. 587). Control implies the existence of goals and plans. The more clear, complete, and coordinated the plans and the longer the period of time for which they are made, the more complete is managerial control likely to be.

Requirements.-Koontz and O'Donnell list requirements of an adequate control system. Controls must (pp. 588-591):

1. Reflect the nature and needs of the activity. It is the task of the manager to be alert to the strategic factors in his plans and operations that call for control and to make certain that the techniques used are suited to them.
2. Report deviations expeditiously. Nothing can be done about the past, therefore the best control system is one that will report deviations before they actually occur.
3. Be flexible. Controls must remain workable in face of changed plans, unforeseen circumstances, or out-right failures. Much of this flexibility in control can be provided by means of having alternative plans available for various probable situations.
4. Be economical. Any control must be worth its cost. This depends on the ability of the manager to select for control only the truly strategic factors.
5. Be understandable. A control system that is not understood has less chance for being effective.
6. Assure corrective action. A control measure should show what failures have occurred, where they are occurring, who is responsible for the failure, and what should be done to correct the failure.

Strategic controls should relate to effects on organizational goals, measurement of any deviations, information on failure of responsible persons, and standards that can be employed at the least cost. Standards may be in terms of physical or monetary measures. Controls can be established for organization structure, policies, procedures, staff and service functions, personnel, and external relationships.

These can be related to the organization as a whole or more specifically to such areas as product, finance, and quality of management (Koontz and O'Donnell, pp. 612-629).

Responsibilities.-Drucker finds there are three "common misuses" of reports and procedures: (1) considering procedures to be instruments of morality; (2) considering procedures as substitutes for judgment; and (3) considering procedures as instruments of control from higher authority. The individual performing the job is the best control device and is made effective by proper management. "Management by objectives and self control may legitimately be called a 'philosophy' of management....It rests on a concept of the job of management....Analysis of the specific needs of the management group and the obstacles it faces...a concept of human action, human behavior, and human motivation..." (Drucker, p. 136).

Controlling includes various methods of checking to include direct observation and inspection of records. The real intent of control should be improvement rather than finding fault or disciplining. Control is properly seen as a method of appraising, analyzing, and improving the organization through the actions of the people who make up the organization. This concept coincides most naturally with the philosophy of having confidence in people who want to do well and want to improve their performance.

Authority

Basis of authority

"The process of organizing encompasses grouping of activities for purposes of management and specification of authority relationships between superiors and subordinates and horizontally between managers. Consequently, authority and responsibility relationships come into being in all associative undertakings where the superior-subordinate link exists. It is these relationships that create the basic character of the managerial job....Since enterprise managers must work through people to get things done, management theory is necessarily concerned with a complex of superior-subordinate relationships and is therefore founded on the concept of authority" (Koontz and O'Donnell, 1959, p. 47).

The "nature" of authority is generally better agreed upon by writers in the literature than is the "source" of authority. Basically two viewpoints have developed concerning this source.

Formal authority theory.-Simply stated, this approach views ultimate authority as resting in the institution of private property, which includes a complex of rights, laws, codes, mores, and folkways. As a society develops, social institutions - political, economic, religious, educational - define the bounds and content of private property and,

therefore, define the authority of individuals who possess the property rights.

Peterson (1962, p. 83) suggests that society, through the government, is the source from which such authority flows to ownership and, therefore, to users of property for freedom to act within limits. "The origin of authority, then, whether in economic institutions or in social groups where private property is non-existent, may be traced to the elements of an institution - the basic folkways and mores of the group" (Koontz and O'Donnell, p. 49). The individual manager's authority, then, is derived from the organization which he represents, protected by the government, and supported by the public at large.

Acceptance theory of authority.-The second concept of the source of authority appears to have the greater number of supporters in the literature. This concept suggests that the manager's source of authority resides in the subordinates' acceptance of the manager's directives. "The real source of authority possessed by an individual lies in the acceptance of its exercise by those who are subject to it....The concept 'authority' then, describes an interpersonal relationship in which one individual, the subordinate, accepts a decision made by another individual, the superior, permitting the decision directly to affect his behavior..." (Tannenbaum, 1950).

Mandeville suggests that the concept of acceptance theory is a natural outgrowth of the times. "The early students of management paid little attention to the subject of authority, for they were primarily concerned with the increased output of production and the methods which would bring this about....The concepts started with authority being placed in one person who then delegated it downward to other persons who acted for him in various capacities....The next step was the idea that authority was connected with the work to be done and appeared throughout the organization as a necessity for the accomplishment of tasks. Finally, we arrive at the notion that authority does not exist unless it is effectively executed and that it is therefore something which is granted by a subordinate to his superior or to someone else" (Mandeville, 1960)..

Tannenbaum (1950) believes the superior's authority is accepted when the subordinate sees the order as (1) leading to gains for the organization; (2) an opportunity to receive approval of his peers; and/or (3) a means to obtain personal reward.

Comparison of the theories

Theories of authority.-Koontz and O'Donnell are two of the more severe critics of the Acceptance Theory: "The very fact that some of the most important advantages of accepting and disadvantages of not accepting authority arise

from the manager's power to grant or withhold rewards or to remove the subordinate from his group makes the acceptance theory seem unreal....If acceptance were the source of authority, the manager would, strictly speaking, be put into a position of not knowing from one command to another whether he would be obeyed, for until he is obeyed, he would have no authority to command. Furthermore, if subordinates confer authority, as the manager's exclusive source of power, they must also confer his power to levy sanctions. The basic error of the acceptance theorists consists not only in conceiving authority without sanctions but also in assuming that authority rests with individual subordinates and overlooking, therefore, the powerful effect of social institutions. The mores of the larger group confer powers that supersede individual desires....Thus management is given an authority transcending the desires of any individual departmental subordinate" (Koontz and O'Donnell, pp. 51-52). In a separate article, O'Donnell expands on the point. "The relationship between the entrepreneur and employee is one of right-duty in which the manager has the right to command and the managed the duty to obey. While the employee has the power to disobey, and thus he may do so, he is subject to whatever penalties the law provides....The exercise of the power to disobey does not deprive the manager of his authority" (O'Donnell, 1952). With qualifications,

Selekman appears to agree: "authority based on rights of property, though controlling in courts of law, carries little weight in the daily life of a corporation....[but] authority does not come from below but rather stems from the integrity of the entire business as a human institution fraught with moral values" (Selekman, 1959, p. 75).

Newman attempts to resolve the conflict by combining the two theories. He speaks of "ultimate authority" as being the original source from which one derives the right to take certain actions. It is only when the vast majority of people in a particular nation consent to be governed by a set of rules or under a system of laws that government agencies or business obtain authority to use social resources and direct individual action. He finds the greatest restrictions on management authority to come, not from the subordinates or society at large, but from the manager's own organization's policies, procedures, and programs (Newman, 1951, p. 102). Newman does believe, however, that "the only authority an executive really has is that which his subordinates are willing for him to exercise." This should give the manager little difficulty, however, because most workers expect to work and to take directions, therefore they have a wide "zone of acceptance" (Newman, p. 171).

"Although authority is initially based on formal position, legitimacy, and the sanctions inherent in office,

its acceptance is conditioned by several additional factors... professional competence, experience, and leadership, which modify and condition the exercise of formal authority.... [Further,] the concept of authority has implicit in it the notion of legitimacy or ethical sanction" (Peabody, 1962). Peabody finds further that authority is in the office and not the person holding the office. Therefore, when subordinates do not obey an order from the manager it means that the authority has not been accepted, it does not mean that the authority does not exist.

Whether subordinates accept the order or not depends on the manager's power which rests mainly in the formal position he holds and on the manager's influence as an individual. Both power and influence must be considered in the discussion of effective authority.

Leadership

In general usage, management and leadership are often used interchangeably. However, the individual who holds a managerial position may be called a manager without any evaluation of his effectiveness; he can not properly be called a leader until he has proven his ability to direct the efforts of others. The successful manager - the leader - is one who directs by influence more than by power. Peabody (1962) suggests that formal authority rests its power on sanctions,

but that this power is weakened by frequent use. McGregor observes that if "authority [power] is the only tool in the manager's kit, he cannot hope to achieve his purposes very well, but it does not follow that he ought to throw away this tool. There are times when he will need it, when other tools will not be appropriate for his purposes....[The ability to] influence others is not a function of the amount of authority [power] one can exert. It is, rather, a function of the appropriate selection of the means of influence which the particular circumstances require" (McGregor, 1960, p. 31). More extensive attention will be given later to the identification and application of appropriate leadership patterns.

Responsibilities.-Selznick identifies some of the leader's "key tasks" as being (1) defining the mission and role of the institution; (2) selecting institutional embodiments of purpose and the shaping of organization character; (3) defending institutional integrity and maintaining values and distinctive identity; and (4) ordering of internal conflict (Selznick, 1957, p. 62). The quality of leadership is seen in terms of how it affects the endurance of the organization, which, in turn, is based on the breadth of the leader's morality. Results of good leadership are seen within the organization by the amount of: cohesiveness, over-all points of view, decreased conflict,

increased understanding, increased free expression, effective work environment, and high level of productivity.

Leadership is required in any organization because of limitations of persons, limitations in the environment, uncertainties, difficulties of obtaining common purpose, the delicacy of communication, the necessity of individual acceptance, and the constant burden of decisions.

Peterson suggests that the manager truly becomes a leader only when he (1962, p. 21):

1. Accepts responsibility for obtaining specific results for the efforts of other people.
2. Is accountable to the organization for the work results of a group of people.
3. Accepts responsibility to the group to assist them through guidance, direction, and integration of their work.
4. Is able and willing to develop, stimulate, and improve subordinates.
5. Directs subordinates who accept and recognize that they are accountable to him for specified results.

The manager fails as a leader when (1) he fails to set goals, and when (2) he does not "effectively" influence the structure of the organization (Selznick, 1959). To be successful in leadership, the manager must possess both patience and emotional security (Katz, 1955).

Barnard (1960, p. 260) divides leadership into two separate "aspects." The first includes "local," "individual," "particular," and "ephemeral" aspects. This means

the individual requires superiority in various areas as physique, skill, technology, perception, knowledge, memory, and imagination. These call for immediate application on the job and may be highly variable through time and place. These aspects are subject to specific development by conditioning, training, and education. They are relative to the particular job at hand and are, therefore, rather easily determinable and comparatively objective. They are essential to positive action and command admiration and emulation. These are all the technical aspects of the job. The second aspect includes certain factors which are more general, more constant, least subject to specific development, more absolute, and more subjective. They reflect the attitudes and ideals of society and its general institutions. Individual superiority is the determinator as is manifest in such personal characteristics as persistence, endurance, and courage. These characteristics determine the quality of action that results; it is often inferred from what is not done. Good performance can command not only respect but reverence. It is what is commonly implied in the term responsibility and gives to human conduct dependability and determination, while, at the same time, giving foresight and ideality to purpose.

Summary

Whatever the theoretical viewpoint, in practice the statement by Koontz and O'Donnell is significant:

Authority "tends to be an abstraction without leadership. A manager's real ability to influence his subordinates and thereby get things done through people will grow with his ability to elicit their support. Power tends to be ineffective if placed in the hands of a person whom the subordinate does not see the best available opportunity to maximize his own satisfactions....Able management usually gives rise to a situation in which subordinates find that their best interests lie in following the lead of their superiors" (Koontz and O'Donnell, p. 58).

Chapter IV provided a discussion of the development of a philosophy of management. This has been followed, in the present chapter, with an analysis of the functions of management. The purpose has been to seek a consistent and realistic relationship between the philosophy and application to the organization. Having spoken rather in general terms to this point, the task of the following chapter is to relate the philosophy and functions of the manager specifically to the hospital setting.

CHAPTER VI

A PHILOSOPHY OF MANAGEMENT IN THE HOSPITAL

The Philosophy of the Hospital Manager

Need for a philosophy

In writing specifically to hospital administrators, Selekman (1962) identifies four forms of power possessed by managers: moral power, scientific power, economic power, and political power. Over time, there has been a change in technologies in such areas as communication, chemistry, and psychology which "now make morality and ethics a prime consideration...so I equate power with morality, as an axis around which we must build our thoughts." Morality becomes of greater importance as the manager strives to become more of a professional. When "men develop a professional approach, part and parcel of that professional approach is a sensitivity to the moral implications of their trusteeship." The manager must be able to justify his use of power on two grounds. "One is technical competence, and the other is moral involvement. He must be involved in the human society and his ethics must be able to withstand close public scrutiny." The four systems of power "generate energy, ideas, forces which affect human behavior" (Selekman, 1962).

The manager is involved with and affected by each of these power systems.

In the unique position of manager with access to the utilization of power, Selekman cautions that there are three "cardinal sins" of which most administrators are guilty, but which can be avoided. These are self righteousness, cynicism, and perfectionism. Such attitudes tend to deny subordinates the opportunity for normal growth, and tend to lead the managers to think that they can do all that needs to be done in the organization, and do it better than anyone else.

Functions of management

In a discussion of the functions of management as they relate to hospitals, Toomey (Nov., 1962; Dec., 1962) places a major burden on the manager. "Management is responsible for 'results' - that is, for a continued series of improvements over previous accomplishments. To get results, managers must gather together all their resources (financial, physical, and others) in a purposeful manner. The term usually applied to this activity is 'organization'." Zager (1962) is rather specific in his discussion of hospital goals. "The goals should be stated in terms of performance improvement for the entire hospital or for a particular part of it." When establishing goals, Stumpf

(1961) instructs the manager that they must be both clarified for the subordinates and attainable by them. This requires coordinated efforts between those involved and control on the part of the manager. Proper formulation and implementation of goals should be part of the manager's philosophy: "The encouragement of responsibility through a philosophy of administration by objectives is geared to intended response. It calls for courage, self discipline and confidence in the abilities of others. It is a philosophy based upon growth, human dignity and faith in others."

One of the most qualified hospital spokesmen is Ray E. Brown who has written a number of articles relating functions of management to the discussion of a philosophy for hospital managers. He speaks of the "dimensions" which influence the administrative process. These dimensions are cost, quality, human relations, public, institutional, administrative, and ownership. The nature of administration requires that it be a means to an end rather than end in itself. Brown summarizes: "the dimensions that control the administrative process define how the enterprise can act - not how it will act....Proper accommodation will not assure effective administration, but effective administration is possible only if proper accommodation for each dimension is maintained." Two sets of variables are found which are of

importance to the administrator. One set is concerned with the administrator and the other with the organization. Concerning the administrator, it is found that "the practice of administration has received rather widespread attention.... [but] has not produced a systematic definition of the variables in administrative practice, mainly because the attention has been framed on the administrator rather than on what he was doing" (Brown, Dec., 1959). It is only when more attention is directed to the organization does Brown believe that more will be made known of the administrator who directs that organization.

The philosophy

Basis of a philosophy.—"The only basis for administration is the assumption that human behavior is caused.... If people always did naturally what was best for the enterprise then there would be no need for administration" (Brown, Nov., 1959). The organization itself represents a deliberate plan to control behavior. "Effective administration designs the organizational structure and utilizes it so as to encourage creativeness and transmission of ideas.... Administration affects human behavior by modifying the causes of that behavior through some system of inducements.... The mission of administration is to accomplish the purposes of the enterprise." In turn, "every enterprise and agency must

have a socially desirable purpose, and act in a socially desirable fashion." In performing his role, the manager will find that he is limited by factors internal and external to the organization, but "to say that administration must accept life on the terms offered by the environment does not condemn the administration to permanent acceptance of the going values around the enterprise. Administration has the right and the responsibility to attempt to influence the environment and to seek to moderate its influence on the enterprise" (Brown, Nov., 1959).

Having suggested that "our hospitals should have a fourfold goal: patient care, rehabilitation, education, and research," which all hospital managers must accept in developing their individual philosophies, Liswood adds that "philosophies, by their very nature, are personal, and an individual's philosophy is the sum and integration of his experiences, his reactions, his feelings, his adjustments to changing situations and his thinking....Although he may never have thought his philosophy through to its logical conclusion and stated it in words, for the administrator it is present nonetheless as the motivating force, the standard by which his judgments are made to achieve the goals he seeks" (Liswood, 1963). The one attitude which Liswood believes all hospital managers should have is "the biblical injunction of the 'Golden Rule' as proper administrative

behavior...." In commenting on a philosophy of hospital administration, Hosford indicates that a philosophy "should be based on a positive, realistic and idealistic outlook... [and] applicable in the practical everyday operations of the hospital as well as in its long-range plans of the future." He believes, as do most authors reviewed, that "probably no two administrators will have identical philosophies about their profession..." (Hosford, 1962).

Based on a systematic study of hospital management practices, Mathews (1962) has concluded that the "work of every organization is guided by a philosophy of administration, that is, a group of ideas, concepts or principles about how an organization should operate. Most organization philosophy is, to some extent, a composite of concepts and principles selected from several theories of administration which are not always in conformity."

Conflicting philosophies.—The two conflicting "fundamental behavioral assumptions" on which the above theories are based are (1) "the assumption that human behavior is the result of conditioning. The individual is...capable of accepting directives, but not of initiating action. He automatically responds and is molded by his environmental stimulus and thus, he behaves as the rational plan of the organization requires him to behave"; (2) the "assumption that each human being is unique, sensitive and active. He

is capable of interacting with his environment and seeks to use his abilities and his potential for growth....Attention is centered on the motivation of the worker...a social group with each human being contributing..." (Mathews, 1962). Much of the difficulties of management when dealing with employees is related to the confusion and inconsistencies of these two philosophies within a single hospital or within an individual manager. Mathews finds that the greater the inconsistencies, the greater the dissatisfaction of the organization members.

Philosophy of Management in Practice

Difficulty of applying a philosophy

Management is the least known and least understood of the "basic institutions" (Drucker, 1954, p. 9). At the same time, "managers are the most expensive resource in most businesses - and the one that depreciates the fastest and needs the most constant replenishment. It takes years to build a management team; but it can be destroyed in a short period of misrule" (Drucker, p. 111). Creative action, as seen by deGrazia, is the essence of both poetry and anarchy. "It is action uninstructed and uncontrolled. It arises from the complexity of man's nature....[Therefore,] creative action is peculiarly at home in man. It is neither good or bad in itself; external criteria are necessary to judge its

value." In addition, "the specifications and participants are themselves so involved in the observance of deductive rationalization in judging the operations of the organization that they find it difficult to assume empirical or inductive frame of mind with regard to their own operations and so check them" (deGrazia, 1960).

These statements suggest that it is difficult to develop a philosophy, or, once having developed it, to apply it consistently. It is not possible to separate the individual manager's philosophy of life from his philosophy of management. Actual behavior within the organization, however, is limited by technological, organizational, and ethological factors, defined as the sum total of varying values placed by members of an organization on the respective satisfactions or dissatisfactions to be derived from the organization (Jasinski, 1959).

For the manager who believes at any point in time that he has devised the most successful philosophy and behavior patterns, Ohmann (1957) cautions them not to become complacent. The status quo is constantly facing pressures and attacks to change; new forces come into play both internally and externally.

Selekman (1959, p. 217) warns that the manager must guard against his own disillusionment and cynicism on the one hand and must be cautious against an "easy fulfillment

of moral aspirations" on the other. He points out that even though the formal organization is not a church or clinic, "human values are ignored with peril."

Evers (1962, pp. 547-549) cautions the manager against overextending his activities outside his institution. He points out that the imposition of a social objective for the manager assumes a degree of power to influence social affairs beyond that arising out of the services of the institution to the community. "It would seem that optimal social attainment would not be forthcoming if we urge a proliferation of responsibilities which encompass more than the organization is designed to accomplish." Evers asks how much of the manager's energies and efforts are "distracted from managing his firm in the discharge of these responsibilities." At the very most, Drucker advises that "management's public responsibility as one of the leading groups should therefore be restricted to areas in which management can legitimately claim authority" (1954, p. 389).

Wright (1960) considers it the "administrative fallacy" when the manager assumes everything in his organization is going well simply because there is no observed friction. A lack of observed disharmony may be the result of disinterest or apathy on the part of group members, or because of guarded, less obvious frictions that are hidden from the manager. Planty and Machaver (1956) warn that the manager

who does not detect actual or potential friction may lack adequate organizational communication. Barriers are created due to physical distance, organizational complexity, and dilution and distortion of information as it moves through levels of the organization. The manager himself may create barriers by the attitudes and behavior he displays when his subordinates communicate to him, holding the belief that "no news is good news," his natural defensiveness when hearing criticisms or complaints, his resistance to becoming involved in personal problems of his subordinates, his failure to act on previous communication, and resisting the time consuming aspects of participating and acting on communication received. "A man's philosophy of management determines the value he places upon communication and the time he gives to it. A manager who has freed himself of much of his routine responsibilities and is engaged in building individual subordinates and developing teamwork in the group will rank communication high in priority and will allow time for it, since it is the nerve center of such a leader's management. In contrast, the boss who acts alone, solves most of his department's problems himself, and lets the growth of subordinates take its own course may well be too busy to communicate" (Planty and Machaver, 1956). Drucker, in the same light, states that "managing is not just passive, adaptive behavior; it means taking action to make the desired results come to pass" (1954, p. 11).

"Every managerial decision has behavioral consequences. Successful management depends - not alone, but significantly - upon the ability to predict and control human behavior" (McGregor, 1960, p. 3). A manager quite naturally may feel he is his own behavioral scientist and therefore he is less likely to look to others for guidance in this area. However, the manager has often been promoted to his present position, especially at the lower managerial levels, because of his technical competence rather than for his ability to lead others. "We can improve our ability to control only if we recognize that control consists in selective adaptation to human nature rather than in attempting to make human nature conform to our wishes" (McGregor, p. 11).

Testing a philosophy of management

Norris suggests that one of the key tests of the executive is his capacity to face hazards and the problems of:

1. Living with the necessity of compromise, while knowing when not to compromise too much.
2. Limited freedom in being able to disclose only parts of the truth on many occasions, yet needing to see the whole truth.
3. Making final decisions with incomplete facts.
4. Accepting subordinates' mistakes while not allowing too many mistakes.
5. Living up to the public's and associates' image of his office, while not becoming a victim of it.
6. Succeeding as a man of thought and action.

These tests are suggested as the ultimate questions of whether the manager is adequate to his position. Stated in terms closer to describing a philosophy of management, if the manager is big enough for his position "it will be in a large measure because he is adequate to deal with the moral issues put before him."

"Moral are personal forces or propensities of a general and stable character in individuals which tend to inhibit, control, or modify inconsistent immediate specific desires, impulses, or interests, and to intensify those which are consistent with such propensities....Moral arise from forces external to the individual as a person. Some of them are believed by many to be directly of supernatural origin; some of them derive from the social environment (general, political, religious, economic), from experience of the physical environment, biological properties, phylogenetic history, technological practice or habit - inculcated in people by education, training" (Barnard, pp. 261-262). Each executive has a personal moral code independent of the position. In turn, the executive creates moral codes for others. In addition, "the endurance of the organization depends upon the quality of leadership; and that quality derives from the breadth of the morality upon which it rests" (Barnard, p. 282). However, Shull (1962) cautions that the "dynamics and complexities of our culture require that

practice be based upon intelligent reasoning and scientific exploration, not upon habit, imitation, and superstition."

Selekman advises that the manager should carry "his conscience with him as the overriding authority....Management of a business is essentially a secular affair, subject to sin and error" (1959, p. 101). These secular demands do not always reward virtue above other management characteristics: "An employee may be less virtuous than another man, but if he excels in performance or future promise, he will be the likely one chosen for promotion." Power itself may be seen as amoral; the constant conflict between the "technical must" and the "ethical ought." However, the manager with a true philosophy will be guided by the advice of Ohmann (1955) that deep-seated religious convictions should serve as the integrative function for long-range goals. Even though conflicts do exist between what appears to be "practical" and what appears to be "ethical," "religious ethics and religious living cannot be applied at certain times and places, only to be ignored at others" (Campbell, 1957). As applied to the world of the manager, "given a sense of confidence in the harmonious relationship between religion and our capitalistic system, each businessman can proceed to work out his own code and operating philosophy for his own situation." In the words of another student of management, "To produce more and more with less and less

effort is merely treading water unless we thereby release time and energy for the cultivation of the mind and the spirit and for the achievement of those ends for which Providence placed us on this earth" (Randall, 1952).

Cordiner, from his experience as a business leader, presents a crucial aspect of his thinking. "I am convinced that there is no such thing as the common man. Each of us is an uncommon man. Each of us has some distinctive and individual contribution that he alone can make....When the professional manager at every echelon of the organization recognizes this and cherishes it as his most deeply held belief about his fellow men, then he has found the clue to leadership in the American society" (Cordiner, 1956, p. 117). "To the degree that a man refuses to act with the full knowledge of his uniqueness and potentiality, he chooses non-being. To the extent that he makes choices governed by the need for social validation and not by the requirements of his own individuality, he also chooses nonbeing....All of us know that men are mortal, but we refuse to recognize it emotionally. If we could recognize and accept the fact of our own future nonbeing, our lives would assume a purposefulness that would eliminate many of the shams and rituals that rob us of precious time" (Rice, 1960). Such a philosophy can go beyond the individual organization to the society as a whole: "the strength of a nation is the accomplishment of its

entire citizenry and it is here that the free society has had its triumphs." The challenge for the leader is to "create an atmosphere in which man, whatever their level of talent, gain through their association with one another...the environment which has inspired average men to above-average performance" (Greenewalt, 1959, pp. 2,3,10).

Ohmann (1955, p. 60) presents a philosophy as expressed by an unidentified business executive. It is presented as being both admirable and workable, and is compatible with and inclusive of the discussion of a Philosophy of Management. "This world was not an accident but was created by God and that His laws regulate and control the universe and that we are ultimately responsible to Him. Man, as God's supreme creation, is in turn endowed with creative ability... each individual represents a unique combination of talents and potentials...freedom of choice...high capacity for making value judgments...an obligation to give the best possible accounting of one's stewardship in terms of maximum self development and useful service to one's fellows in the hope that one may live...to be a credit to his Creator...assumes that his own authority as boss over others must be exercised with due regard for the attendant obligation to his employees and to the stockholders who have temporarily and voluntarily yielded their rights in the interest of the common undertaking...set the working conditions and atmosphere

which will make it possible for his employees to achieve this dual objective of increasing productivity and maximizing self development. These goals can best be achieved by giving employees maximum opportunity to exercise their capacity for decision making and judgment within their assigned area of responsibility...instruct, discipline, and motivate...each to exercise his special talent in order to maximize the total team effort. Profits are regarded as a measure of the group's progress toward these goals, and a loss represents not only an improper use but even an immoral use of the talents of the group...firmly convinced that such conscientiousness of efforts will be rewarded with success."

Practicing a philosophy of management in the hospital

Brown believes that judgment is the most prized attribute sought by the administrator (Mar., 1960). This is because the "administrator is a practitioner and all practice depends upon the use of judgment....[Therefore,] we tend to evaluate the total administrative performance in terms of judgment." Because of his place in the organization, the manager is most susceptible to observation and evaluation. The purpose of administration is to influence the behavior of others. Therefore, the actions of the administrator must be understood by those whose behavior he is attempting to influence if they are to be expected to comply. "Because

administration is responsible for getting things done - the art of the feasible - it has to apply the values of the doers as well as those of the administrator" (Brown, Mar., 1960). "Bad judgment must be blamed on the administrator personally, irrespective of its cause" (Brown, Apr., 1960).

"We get mad about things but we get mad at people.... The extent to which we blame the individual does not seem to be in relationship to how directly he was involved but rather by how great is our resentment." Brown indicates that the manager's displays of anger before his subordinates may have a value for a "change of pace," but points out that it quickly loses its effectiveness and adversely affects the manager's own judgment (Brown, Apr., 1960).

There is the danger that a manager may become obligated to his subordinates if he does not guard against this possibility. "Because administration must depend upon a system of inducements in order to ensure the desired behavior from individuals, it is, in a sense, always trading for support....[This] essentially means letting the individual have as much of his own wants and ways as is consistent with the behavior desired and the welfare of the enterprise, in return for his specific and general support of the goals of the organization" (Brown, 1961). The manager must be loyal to those for whom he is responsible, but if "he feels obligated to another member of the organization he will hesitate

to exercise critical judgment as far as that individual is concerned." The manager is reminded that "administration is not a popularity contest and that many administrative decisions of necessity represent choices between opposing views within the organization....It isn't possible to have all sides like all administrative decisions, but it is possible, and important, to make all sides respect them." Both the manager and those with whom he deals "must see the difference between the administrator's liking them, and liking everything they do" (Brown, May, 1960).

For the manager who believes he has mastered the art of managing, Brown warns that "success can breed an ingrown pride that can easily turn into delusion..." (Brown, Aug., 1960). "The administrator with a cause believes in change, but he usually wants to change everything but himself" (Brown, 1961).

Kyle (1961), in reviewing formal organization concepts, suggests that although the basic premises of organization theory are "deliberately impersonal," it does not take into adequate account the organization members - the most important organizational variable. For this reason, the manager - the leader - must adapt his behavior to the situation and the nature of the group.

The exacting, demanding requirements of administration on the one hand and the human oriented demands of

leadership on the other, are not easily resolved. In an article directed to Catholic Sister-administrators, Stokes recognizes the conflict even for those dedicated to the religious vocation. Devoutness does not guarantee effective administration, but learning to be good administrators is an efficient way of serving God. "If this tradition of full Christian services in the hospital field is to be continued, perfected and passed to their successor, the hospital religious must be courageous, constant and unstinting in their efforts to develop in the field of administration. Religious who are professionally competent for the office entrusted to them and at the same time fully dedicated to the service of God." As has been said by other authors in similar terms earlier, "a Christ-like attitude toward the sick in the hospital diffuses downward from staff heads to staff members and to service personnel." As a guide to the Sister-administrators, Stokes admonishes that "the 'demand' for a hospital administrator is that she be professionally, competently trained and keep on with that training to the end of her life, and that she integrate her professional life with her religious observances...making every act of her life an act of the vows [to God]..." (Stokes, 1963).

In a discussion of ethics for the hospital administrator, Hall (1960) places particular attention on moral qualities. He sees the moral quality of an act determined

by its consequences. The administrator's role is especially important because there is a lack of knowledge of future consequences of the alternative courses of action. There are also moral qualities involved in various types of behavior. The acts of the manager have greater effect on other organization members than do non-managers, therefore, the consequences are more crucial. Some management acts are morally obligatory under certain defined circumstances; other acts are morally wrong. The manager may be required to decide what these are himself. "One is not in a moral situation unless every real alternative for his choice has some aspect of wrongness about it." The only correct decision is the morally correct decision. Whether the hospital looks to God, to society, to organization policy, or to some other source, there is need for some higher "authority" by which to decide the right or wrong of a situation.

Summary of a Philosophy of Management

It is recognized that the total organization, each of its separate parts, and each individual within the organization, requires a philosophy as a guide to action. Each individual or unit philosophy is required to be interrelated and mutually supporting. In that the organization is a human organization, the philosophy must be directed toward a consideration of people. Because of uncertainty and expected

change, and because all organization practice has not been completely identified or interpreted, the philosophy must be flexible to allow for constant searching of improved perceptions.

The philosophy, in accepting an ordered universe, recognizes that control is possible. Because the philosophy accepts the fallibility of man, it recognizes that perfect and consistent performance from all people cannot be expected. The philosophy also recognizes the dignity of man. Concepts of an ordered universe and the dignity of man suggests, with proper organizing, that man can be developed. Man desires and deserves to improve.

Each institution and each individual have certain unique characteristics, therefore, each must be allowed to pursue a distinct philosophy. Because of this uniqueness, there is a great need for understanding and coordination between groups and individuals. The philosophy encourages communication because it encourages understanding.

The philosophy accepts progress and development by both the institution and the individual. An ordered universe permits this; the individual in his search for dignity desires this. Because of the dignity of man, man requires inspiration to perform at his maximum. For the same reason, man is limited as to the amount of manipulation to which he will respond. It is only when man is treated with dignity

that he will perform with dignity - that he will perform nearer to his potential. The manager cannot force subordinates to perform to their maximum, but he can provide the type of environment, tasks, and leadership which will cause the individual to be motivated to perform nearest his maximum. Structure is needed; therefore, the manager must understand and be efficient in performing the functions of management. The manager should allow each individual to participate in decisions that affect him. Effective management requires more than functioning mechanically, however. Especially in dealing with people, moral issues come into play. The effective manager is one who can inspire others, not force them, to perform their duties.

The philosophy recognizes the need for training. The philosophy suggests that the manager must learn, more than anything else, how to treat others with dignity.

More than in most organizations the philosophy advocated here should apply in the hospital. The hospital has been created and is perpetuated for the service of mankind. It is effective only to the extent that those associated with the hospital perform in an effective manner. It is within the framework of such a philosophy that the hospital's training program is to be directed.

The question to be asked, accepting the philosophy that places primary emphasis on the individual in the

organization, is whether this emphasis, in fact, creates the most effective, efficient, and productive organization. There is little gain for the organization, in practical terms, to know that, although morally right, the organization is unable to survive by applying its philosophy. The question to be asked in the next few chapters is whether this philosophy can be interpreted in terms of manager behavior and whether the philosophy, in practice, can act to the most effective organizational results measured in terms of quality and quantity of output. Such questions need to be answered before any recommendations can be made as to the content of a management development program in the hospital.

PART III. LEADERSHIP

CHAPTER VII

THE LEADER

Introduction

Leadership related to the philosophy

Initially, discussion centered around the purposes of hospital management and the significance of management development. Next, was the establishment of a broad framework - a philosophy - in which the manager could operate. Attention has been given the functions of management. Major considerations and responsibilities of the manager are related to his treatment and utilization of his subordinates. That part of management most crucial for the manager in dealing with subordinates has been identified as leadership.

The next logical area for study is the selection of the most appropriate leadership behavior patterns for the manager. From the standpoint of society and the organizational clientele, as well as for the organization itself, the goal of the leader is to obtain maximum service with the greatest economies and efficiency. The second duty of leadership is the proper treatment of employees if employees are to be recognized as individuals and are to be given an opportunity for personal growth. These responsibilities of

of the leader are basically a restatement of the Philosophy of Management.

Approach

The discussion of leadership which follows is based on studies and conclusions found in the literature. There is much information of value concerning organizational performance and the behavior of those who make up the organization. Studies have been conducted by those in Psychology, Sociology, and Anthropology. The Historian and the Economist have added their contributions. Some of the reports have been of a descriptive nature, reporting what has been observed. Some of the earlier, more scholarly work has come from the Political Scientist. More recently, the businessman has become increasingly interested and has contributed time and effort for the greater understanding of the forces that create a more effective - a more profitable - organization. Studies of the military have been valuable. The hospital has been one of the more fertile fields of organizational behavior study. Some of the contributions have been of a theoretical nature with the emphasis on formulating a method to better explain and understand what has occurred and attempt to anticipate future occurrences. There are many examples in the "behavioral sciences" of attempts to structure situations, control variables, and observe the behavior of individuals in given situations.

Other studies have been made in an attempt to employ organization members more effectively.

Influences on leadership

A number of authors find that it is not sufficient to look at the manager alone in making an analysis for the prediction of managerial success. Tannenbaum (1950) lists three factors which make up the "leadership variables":

1. Forces in the manager: These include the manager's own value system, his confidence in his subordinates, his leadership inclinations, and his feelings of security in an uncertain situation.
2. Forces in the subordinates: These include the subordinates' feelings of a need for independence, their readiness to assume responsibility for decision making, their tolerance for ambiguity, their interest in work problems and their feelings about them, their understanding of and identification with organization goals, their knowledge and experience in dealing with problems, and the way they have learned to behave in decision making situations.
3. Forces in the situation: These include the type of organization - its values, traditions, approved behavior patterns, job descriptions of the members, its policies, size, and geographical location, and its inter- and intra-organization relations, as well as the amount of organization security; group effectiveness which is affected by member experience, cooperation, backgrounds, similarities, self and interpersonal confidence, cohesiveness, permissiveness, mutual acceptance, and sense of common purpose; the problem itself; and the pressure of time.

The same concepts are presented by Krech, Crutchfield, and Ballachey (1962, p. 457) in a more detailed manner as shown in Figure 7-1. This will be useful for reference as the following study is pursued.

Independent Variables

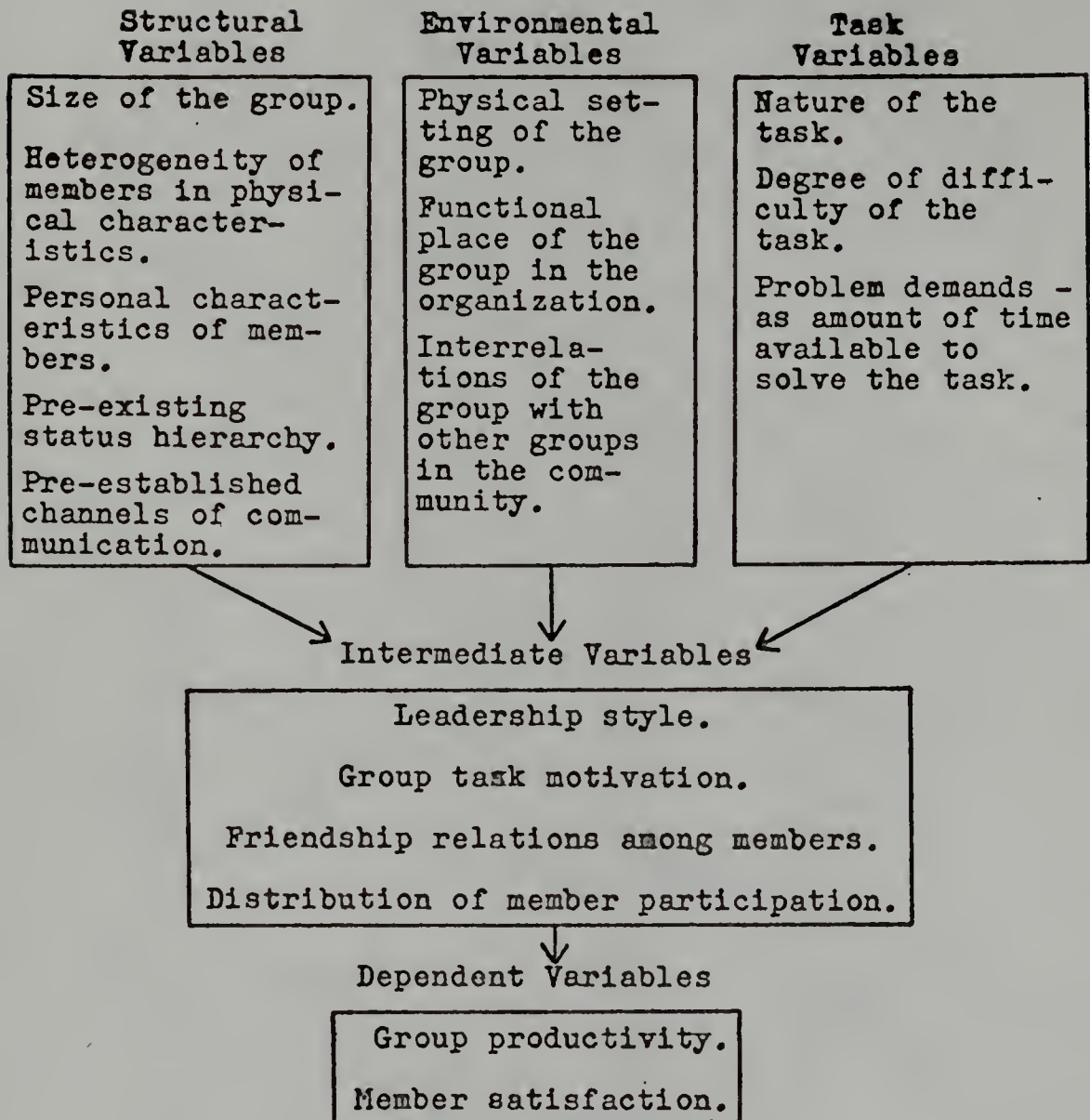


Figure 7-1. Determinants of group effectiveness.

Figure 7-1 relates to previous material discussed. The structural, environmental, and task variables are established by management through the performance of its

functions of management. As an intermediate variable, leadership style is indicated as not only a part of management, but as the most significant part because it is leadership which accomplishes most directly both group productivity and member satisfaction.

Figure 7-1 is appropriately entitled "Determinants of group effectiveness"; the final measure of the manager's leadership abilities, of necessity, must be in terms of the effectiveness of the group in accomplishing its tasks. Also, it is to be noted under dependent variables - the end results - are both group productivity (group effectiveness) and member satisfaction. Both are required to fulfill the requirements established for a true Philosophy of Management.

Likert (1961) drawing from work at the Institute of Social Research at the University of Michigan, has compiled the criteria for measuring administrative effectiveness. These are: (1) productivity per man hour; (2) job satisfaction; (3) turnover and absenteeism; (4) costs; (5) scrap loss; and (6) employee and managerial motivation.

It is with the factors, determinants, and measures in mind, that the following discussion should be considered.

The Leader

Trends

Odiorne (1962) has traced, in general terms, what he has found to be the patterns of leadership in recent years.

In the 1920's and 1930's, typically managers were of the "hard-nosed engineer" type; the 1940's and early 1950's, saw human relations come into greater prominence; and the mid and late 1950's was characterized as a period of "management by pressure." He suggests that the approach for the 1960's, for maximum effectiveness, must be, and was seen as becoming, a period in which the manager is a "manager of situations": he is judged by what his followers do, there is no "executive personality" to be developed because there is no trait or single set found in all successful managers, and the "good" manager is seen as an individual who "makes things happen." The manager is becoming more of a generalist than a specialist, he works more through the organization - the group - than through individual personal effort, and he is oriented to "results" and "responsibility." Emphasis is on goal setting and group motivation to reach the goals.

Requirements

McMurry (1954), from his experience as a management consultant, has listed those characteristics necessary for successful management.

1. A constitutionally high level of psychic energy to insure adequate drive aggressiveness and creative imagination. The successful manager needs to be a "doer" and an "innovator."
2. Sufficient self reliance to take calculated risks with a minimum of anxiety.
3. A high order of empathy and intuitive judgment.

Skills which McMurry identifies as necessary are ability to:

1. See problems in balanced perspective and ability to make decisions from long-run considerations.
2. Delegate and accept authority and responsibility.
3. Be open-minded to suggestions and criticisms.
4. Take loss of approval and loss of support of others when thinking independently and taking a firm stand.
5. Carry on, integrate, and coordinate a number of highly varied interests and activities simultaneously.
6. Discover and utilize previously undetected relationships.

Goode (1951) would add that the manager should also possess:

1. Somewhat more intelligence than the average of his followers.
2. Well rounded interests and attitudes.
3. Unusual facility with language that is simple, persuasive, and understandable.
4. An awareness of the importance of cooperative effort, and being able to effectively practice social skills.

Universals

To a considerable extent, successful leadership attitudes, characteristics, skills, and behavior patterns appear to apply across organizations and between levels within an organization. Compared to studies which have been made of adult groups, the results of a literature search by Stogdill

(1948) is enlightening. His review relates to a certain universality of leadership effectiveness manifested in childrens' groups. His findings were divided into various categories, each supported by at least three separate studies. Childrens' groups tend to be informal, therefore leadership can be expected to emerge in a more spontaneous manner as a result of the emerging leader's behavior and the needs of the other members in the group. Children tend to be less socialized than adults, therefore members are more likely than adults to react to forces and needs rather than to conventional practices or learned responses.

It is only after approximately the tenth year that a developmental level of "active leadership" is reached, that is, leadership which is truly recognized and ongoing. Leadership is found to emerge in children when they: (1) develop personal determination and self control; (2) grasp abstraction and social ideas; (3) develop awareness of individual personalities; and (4) have sufficient memory span to pursue remote goals. Stogdill has concluded that characteristics possessing highest overall correlations to leadership are: originality, popularity, sociability, judgment, aggressiveness, desire to excel, humor, cooperation, liveliness, and athletic ability. This list is significant to the present discussion because of its similarity to those of McMurry (1954) and Goode (1951) given above.

Results, however, are not always consistent for all groups, all environmental situations, or all tasks, suggesting the need to identify all significant elements in a situation to understand its leadership needs. Emphasis placed by the group on each characteristic may change with the maturity of the group members; for example, in younger children "talkativeness" is important, but as the group matures, verbal ability becomes more important - quality replaces quantity.

In addition, Stogdill finds that the successful leader relates his patterns of personal characteristics to the characteristics, goals, and activities of the followers; the greatest threat to the leader's continued leadership role is the lack of ability to change his own behavior to a change in the situation or a change in the needs of the group members.

Katz has provided useful categories for discussing the make-up of the manager. He finds that "effective administration rests on three basic developable skills which obviate the need for identifying specific traits and provide a useful way of looking at and understanding the administrative process" (Katz, 1955). The words "developable skills" are significant. Those skills which he identifies are:

1. Technical skill: "...implies an understanding of, and proficiency in, a specific kind of activity, particularly one involving methods, processes, procedures, or techniques."
2. Human skill: "...ability to work effectively as a group member and to build cooperative effort within the group." Specifically, this means that the manager must be aware of his own attitudes, assumptions, and beliefs about others; he must see the usefulness and limitations of these feelings; he must understand what others really mean by their words and behavior; he must be skilled in communications to create an atmosphere of approval and security; and he must be sensitive to the needs and motivations of those around him as being both continuous and natural.
3. Conceptual skill: "...ability to see the enterprise as a whole...."

It is advisable to keep this classification of skills in mind, as there will be occasion to refer to it again. Katz finds that technical skills are more important at lower organizational levels than at higher levels, conceptual skills more important at the higher levels than at lower levels, while human skills are equally important at all levels. All three skills are found in some measure at all levels of management.

Personality

Although Henry has found that identifying, choosing and successfully internalizing the appropriate norms of the group led to be of great significance to a leader's success, he also finds that the successful managers have "many personality characteristics in common" and "an absence of these characteristics was coincident with failure." These

conclusions were based on the results of a series of psychological tests administered to successful business executives." The conclusions of this study are of considerable importance because they tend to lend support to the previous lists of McMurry (1954), Goode (1951), and Stogdill (1948). The personality characteristics found to be generally true of the successful executives in the study are:

1. Achievement desires: The manager has high drive and conceives of himself as hard working and achieving. He tends to be happy only when accomplishing something. Generally, this happiness is from the accomplishment itself and not necessarily from the glory it brings.
2. Mobility drive: The manager desires to move up in his organization and seeks new challenges. Any work finished is an indication to him of newly gained competence which gives a still greater continued sense of mobility. As part of this he seeks a social reputation.
3. Idea of authority: As related to his superior, the manager understands that through authority he is controlled by his superior, but he also sees the authority structure as helping in creating his relationship to his superior. He sees himself as part of a wider and more formal authority system. Whenever a manager perceives authority as "prohibiting" and "destructive," it is difficult for him to relate to his superior, and he will resent the authority over him.
4. Organizational ability: The manager has a high degree of ability to organize unstructured situations and to see the implications of the organization and the organizational relationships. He looks to the future. He attempts to fit all of what he does to the organization; he resists what does not fit.
5. Decisiveness: The manager must make decisions from alternatives. For the successful manager, there is nothing too difficult to attempt to solve. The individual who is poorly directed and possesses only poor judgment tends to be under a severe handicap. The breakdown of this trait is one of the most disastrous for a manager's success. The role of the manager demands conviction and certainty.

6. Strong self structure: The manager possesses strength of self identification. The manager must know what he is, what he wants, and the techniques of obtaining what he wants. If this attitude is carried too far, however, it can lead to rigidity and inflexibility, which are undesirable.
7. Activity and Aggressiveness: Activity, striving, and aggressiveness all tend to be well channeled into work or struggles for status and prestige. This is such an all pervasive part of the manager's personality that he is not able to resist their driving force even when away from the work situation.
8. Apprehension and fear of failing: The manager harbors a pervasive feeling that he may not succeed.
9. Strong reality orientation: The manager is interested in the practical, the immediate, and the direct. He is a "man of vision" who must get above reality to plan and dream. It is difficult for the manager if the realities which he must face are not in tune with his ambitions.
10. Interpersonal relations: The manager identifies with his superiors. He tends to view his subordinates in a more detached and impersonal way; he sees them as doers rather than as people. However, he is not cold and he does not treat all subordinates casually. He tends to be generally sympathetic with many, especially those who display personality traits most like those of himself.
11. Attitude toward his own parents: The manager has "left home"; he feels and acts as if he is on his own. Emotional ties and obligations have been severed. The manager bears no resentments to his parents. If these ties are not broken, they tend to show up in the manager's dependence on or resentment toward his superiors; strong parental ties work against activity and progress.
12. Nature of dependency feelings and concentration on self: The "dependency upon the mother-image must be eliminated...[However,] for those executives who work within the framework of a large organization where co-operation and group and company loyalty are necessities, there must remain feelings of dependency upon the father-image and a need to operate within an established framework."

Typically, then, the individual with these characteristics is found more likely to be a successful manager. Nevertheless, it is obvious that such an individual does not completely possess happiness or freedom. Henry concludes that the price such an individual pays includes: uncertainty, constant activity, continued fear of losing ground, inability to be introspective in a leisurely manner, an ever present fear of failure, and an artificial limitation on his emotionalized interpersonal relations with those around him. It is to be noted that the study is related to top level executives. Although the results provide a guide, it does not necessarily indicate either that the characteristics described are the most desirable or that the same characteristics are necessary for successful performance at lower levels of management. It is to be recognized that not all of the characteristics are completely compatible with the philosophy of management.

Coates and Roland (1957), using the characteristics identified by Henry, asked a sample group of managers to describe themselves; the subordinates were also asked to describe them. Both the manager's view of himself and the subordinates' views of them tended to correlate closely to the personality characteristics of Henry's data.

If it is accepted that there are different forces in people and differences in the demands of organizations, at

the same time accepting an ordered universe and developable people, there should be means to learn and benefit from the information reviewed. An individual can compensate for his weaknesses. No one may be expected to be at maximum in all the characteristics required for a successful manager; if he were, this would probably be only momentarily the case because of the constant changes taking place in modern society. The manner in which the manager attacks the challenge of personal improvement and the success he obtains from it will be a reflection of his own philosophy.

Behavior

McGregor, in a review of the literature, has found over 100 personal characteristics indicated as being necessary for effective leadership. However, he concludes that it is "quite unlikely that there is a single basic pattern of abilities and personality traits characteristic of all leaders" (McGregor, 1960, p. 180). Different types of leaders are called for at different times and in different situations. Various historical periods, cultures, industries, companies, and departments have had their own unique needs; the successful leader was the one perceived by the group as being the individual who could best satisfy these needs. This indicates that "leadership is not a property of the individual, but a complex relationship among these variables" (McGregor, p. 182). For any given situation,

weaknesses in some characteristics can be compensated for in other, stronger ones. This agrees with the "basic developable skills" presented by Katz.

It is generally accepted in the more recent literature that there is no single, specific, and correct way in which an individual can behave which has universal applicability for all groups in all situations. Even though there may be principles or guides, leadership is neither completely general nor completely specific to the situation. It is agreed to by most that leadership behavior depends primarily upon the situation and not upon any inherent leadership abilities, although some traits appear common to all leaders (as examples, Argyris, 1957; Carter, 1953; Gibb, 1947; Jennings, 1943; Krech and Crutchfield, 1948; Likert, 1958; Petrullo and Bass, 1961; Stogdill, 1948). In a more recent review of the literature, Stogdill (1959) has concluded that "leadership is not a matter of passive status, or of the mere possession of some combination of traits. It appears rather to be a working relationship among members of a group, in that the leader acquires status through active participation and demonstration of his capacity for carrying cooperative tasks through to completion." There are probably not universal characteristics of relationships between the leader and situational factors. McGregor believes that the necessary skills and attitudes needed for a given situation can be acquired, and can be by individuals with widely differing inborn traits and abilities.

There are probably families of situations, however, in which an individual successful as a leader in one type of situation could be expected to have success in similar situations (Carter and Nixon, 1949). In recognizing uniqueness in both situations and individuals, McGregor suggests that it is best for each person to function in individual ways and not in some pre-designed "style" (McGregor, p. 184). Henry has suggested the same thing: "Social pressure, plus the constant demands of the business organization of which he is a part, direct the behavior of the executives into the mold appropriate to the defined role....It assumes that the individual behaves in a manner dictated by the society, and society rewards the individual with 'success' if his behavior conforms to the role....[However,] participation in his role...is not a thing apart from the personality of the individual participant. It is not a game that the person is playing, it is the way of behaving and thinking that he knows best, that he finds rewards, and in which he believes....To some extent the personality structure is reshaped to be in harmony with the social role....Those persons whose personality structure is most readily adaptable to this particular role tend to be selected..." (Henry, 1949). In contrast, those who fail, fail because they have been unsuccessful in their social relations.

In their attempts to find if traits are significant, Ghiselli and Lodahl (1958) have concluded that what is

significant is (1) the ability to supervise, and (2) the ability to make decisions. These were the only factors concluded that could be used to identify the successful leader. Somewhat more specific, but also difficult to identify are conclusions from the following authors. Kahn and Katz (1953) list the classes of supervisory characteristics that contribute to the most successful leadership: (1) the leader must act as a leader, and "not one of the boys"; (2) he must supervise less closely - delegate - for high production (lack of freedom leads to dissatisfaction of the job, the supervisor, and the organization - supervisors tend to lead in a manner similar to the way they are led by their own superiors); and (3) concern for workers as individuals, interest in promoting their welfare, are supportive, and non-punitive. Mann and Dent (1954), concluding from the work of the Michigan Survey Research Center, find, in contrast to poor leaders, the most effective supervisors: (1) pay more attention to long range direction of their group; (2) spend more time on motivational problems; and (3) increase workers' feelings of freedom and self responsibility by not supervising too closely and by increasing the degree of participation in decisions related to problems affecting their immediate world. Stogdill and Coons (1957) summarizing work at the Ohio State University, find that the dimensions of leadership most effective are considerations

for subordinates' feelings, attitudes, and needs. In the initiating structure which is most effective the leader defines the situation for the subordinates so that they are better able to reach their personal goals. In contributing to these goals, Chodhry and Newcomb (1952) find that leaders generally perceive group standards better than non-leaders.

Functions of Leadership

The functions identified

The discussion throughout is mainly directed to the leader appointed in the formal organization, but it is concluded that maximum group effectiveness will only be obtained to the extent that the group accepts (selects) the appointed leader. Krech, Crutchfield, and Ballachey have identified the functions of leaders. These will be found to be overlapping to some extent the previously discussed functions of management. This is not surprising; leadership is part of management. The intent is to meet the goals of the organization, and consideration of organization members aids in reaching these goals. Functions of leaders are derived to meet primarily the needs of the group members. The effective organization is structured to help meet these needs. The functions of leaders are (Krech, Crutchfield, and Ballachey, 1962, p. 428):

1. Primary Functions

- a. Executive: Top coordinator
- b. Planner: Ways and means
- c. Policy maker: Goals and policies
- d. Expert: Information and skills
- e. External group representative: Spokesman communicator, and gatekeeper
- f. Controller of internal relations: Governs group structure
- g. Purveyor of rewards and punishments: Used to exercise control
- h. Arbitrator and mediator: To increase or decrease factualism

2. Accessory Functions

- a. Exemplar: Concrete indication of what should and should not be done
- b. Symbol of the group: Unity when it is seen as a distinct group
- c. Substitute for individual responsibility: Makes decisions and acts
- d. Ideologist: Source of beliefs, values, norms of members; ideology of the group may reflect the leader more than any other group member; the leader is most strong when he controls the group communication
- e. Father figure: Perfect focus for positive emotional feelings; ideal object of identification, transference, and feelings of submissiveness
- f. Scapegoat: Target for aggressions of frustration, disappointment, and disillusionment

The authors find that the manager is accepted as a leader by the group members to the extent that he is perceived by them as "one of us," the "most of us," and the "best of us" (Krech, Crutchfield, and Ballachey, p. 438).

Choice of leadership patterns

Given a particular task to be performed, the question is what is the most effective leadership pattern to be used

by the manager who supervises particular subordinates possessing unique personality characteristics, performing specific functions, and reacting in a given environment. The variables - leadership pattern, follower personality, group composition, environment, and type of task - are recognized in the literature, but it has not been found where any one study controls for all of them at any one time. As shall be seen, some place emphasis on leadership to observe the results of a group of individuals in relation to a particular task. Other studies have been concerned with the behavior of particular personality types when faced with a given task. Some studies have related the background of the group member to his performance on the job. It has been found, however, that certain patterns generally emerge, although some contradictory evidence to these patterns is found. For the practicing manager and for the student of management, both the general patterns and the exceptions are of interest and will be considered. The following chapter begins the analysis of importance to the leader by providing examples and discussion of differences and similarities in individuals.

CHAPTER VIII

THE INDIVIDUAL

Introduction

The purpose of the following discussion is to identify some of the characteristics of individuals considered relevant to the development of a concept of leader effectiveness. Most studies of organizations deal with groups rather than the separate individuals. However, neither all individuals within a group nor all groups react to a particular pattern of leadership in an identical manner. The leader cannot ignore the fact that he is dealing with individuals; one of the behavior characteristics of most successful leaders is an ability to deal with individual problems.

Problems in the study of individuals

Brayfield (1955), after a survey of the literature, has found examples in which certain attitudes were correlated with output, and presents examples in which these very same attitudes did not correlate. In seeking variables that might indicate the reasons for these apparent discrepancies, Brayfield has concluded that, because of limitations in the literature, this is difficult to do. For

example, many studies do not indicate the population characteristics and sometimes fail to describe the measures used. Often the validity of measures employed are unreported. "The reader is expected to assume that the questionnaires measured what they were intended to measure. In view of the history of measurement in psychology, however, experienced readers may hesitate to make this assumption" (Brayfield, 1955). In face of these warnings, it is still fruitful to pursue representative studies because, typically, patterns do emerge.

Individual Traits and Needs

Individual traits

In summarizing from the literature, Krech, Crutchfield, and Ballachey have listed some of the major variables that contribute to making each individual somewhat unique. Each person may be viewed somewhere on the range between the extremes listed for each of the following "preliminary interpersonal response traits." The traits are (1962, p. 106):

1. Role Dispositions:

- a. Ascendance - Social Timidity
- b. Dominance - Submissiveness
- c. Social Initiative - Social Passivity
- d. Independence - Dependence

2. Sociometric Dispositions:

- a. Accepting of Others - Rejecting of Others
- b. Sociability - Unsociability
- c. Friendliness - Unfriendliness
- d. Sympathetic - Unsympathetic

3. Expressive Dispositions:

- a. Competitiveness - Noncompetitiveness
- b. Aggressiveness - Nonaggressiveness
- c. Self Consciousness - Social Poise
- d. Exhibitionistic - Self Effacing

The amount of each of these traits in the individual, the amount expressed at any given point in time, and the amount expressed for any given situation, will be the result of how the individual perceives himself, his fellow workers, the environment in which he must operate, the task assigned, and the form of leadership to which he is exposed. The social actions of a person reflect his attitudes; his attitudes, in turn, are a reflection of his personality.

The following examples are intended to be representative studies of groups with emphasis on the individual members. Not all are related specifically to the typical work situation, but each suggest implications of interest to the practicing manager.

The individual and his perceptions

An example presented by Brown (1954) is a significant point at which to begin this review. In a manufacturing plant, two workers who were observed performed identical

duties. They spent their total shift in comparative isolation from each other and from the rest of the workers in the plant. Both had the same immediate superior who made it a practice each morning to visit their work places, exchange brief greetings with them, verify each had material for the day's work, and left them, seldom returning during the remainder of the day. If it could be expected that all employees respond in the same manner to the same behavior of their superior, it could then be expected that each would see his superior and job in the same way. This was not the case. One of the workers expressed satisfaction with his job. He saw his foreman as being friendly, and that his foreman had faith in his performance because his work was seldom checked; he generally enjoyed the freedom he had on the job. The other employee, however, was considering leaving the firm because he felt no one, especially his foreman, cared what he was doing because of the lack of interest shown in his work. Thus, the same behavior on the part of the foreman brought about completely opposite reactions from his two subordinates. Although the author does not give data to better understand the personalities of these employees, this example does lead to the suggestion that study of the individual, as a separate entity from the group, is appropriate.

Job turnover

Ross and Zander (1957) have attempted to identify the reasons why workers voluntarily left their jobs. One study involved 2680 female skilled workers in 48 different sections of a company with plants located in several cities. During the period of the study, 169 women quit. The needs for recognition, achievement, and autonomy for those who quit and those who stayed were approximately the same, but those who stayed felt these needs were being satisfied and those who quit did not. Members of both groups perceived their own expectations of performance to be the same, but those who quit perceived the company as demanding still more of them. Both groups agreed on the quality of supervision, but those who quit reported more uneasiness when their manager was watching them work. Greater negative feelings were reported by both groups when the needs for autonomy and "fair" evaluations of their performances were not satisfied. However, Pasture (1952) has concluded that workers will accept blockages in arriving at their chosen goal without resentment or discernible signs of hostility when these blockages are perceived as reasonable in terms of the value system of the individual. In other studies of turnover, Wickert (1951), in an office situation, found increased turnover was directly related to lack of group

participation and ego involvement; Baumgartel (1953), found that the number of absences and turnover were directly correlated to the employees' attitude toward their superiors.

Background of individuals

In obtaining information on the effect of cultural background on the performance of employees, two studies are representative. Bouvan (1956) conducted experimental studies with high school students of "middle class" and "working class" parents. Both groups performed effectively the experimental tasks when offered a reward for success; when the reward was not given the middle class group continued to work at the same level as before, but the working class group dropped in performance "significantly." The author concluded that the pattern of achievement depends, at least in part, on the class subculture. The second example is taken from the highly quoted book edited by Whyte (1955). A worker's value system and expectations are seen as affected by his home background and early social environment. One example of this was that those who tended to restrict production on the job were those who were sons of unskilled industrial workers, had grown up in large cities, and as boys had been active in gangs. Those who were considered as being "rate busters" (exceeded the informal group norm for production) were largely from farms or small towns, had

experienced close parental supervision, and had little time or opportunity to belong to gangs. Family background can also affect the employees' preference of a leader. In one study (Friend and Haggard, 1960) found that those who came from "unstable" homes tended to have feelings of rejection and antagonisms, and, therefore, developed the desire for a leader who displayed a "special friendly interest" in them.

Sex roles

Beloff (1958) has studied social conformity based on acquiescence and conventionality of men and women. Acquiescence was defined as the agreement with expressed group opinion in situations involving pressure from others. Conventionality is the concurrence with the tenets, attitudes, and mores of a subject's culture or subculture. Women, generally, were found to be more conforming. Those high in acquiescence were also found high in authoritarianism. Those high in conformity, especially the men, also tended to be high in authoritarianism. One marked contrast between men and women was that men were more likely to conform when they were low in ascendancy, but conforming women tended to be high in ascendancy.

Most studies indicate that women employees tend to be more satisfied than men with both the rules and the job (for

example, Pathen, 1958). This tends to conform with the culturally submissive role of women.

Needs and frustrations

Frustrating or unusual situations can affect the individuals' perceptions of their surroundings. To demonstrate that individual motives can modify the perceptual field, Sanford (1937) studied the reaction of subjects to ambiguous figures projected on a screen. As the subjects were deprived of food for longer periods of time, the ambiguous objects tended to be perceived more as food objects or objects related to the manipulation of food. Moffitt (1953) found subjects under stress saw objects flashed on a screen differently from those who were not placed under stress. Various incomplete figures were shown to both the stress and the non-stress subjects. Those most anxious added more to their representations than was actually shown, and there was more distortion of details to fit a stable background. This indicates that those under stress are less able to perceive accurately, and that in a less secure situation individuals need to surround themselves with the familiar, even at the sacrifice of accuracy.

Aspirations

In a study by Fortune magazine (1947), the following question was asked of managerial and non-managerial business

personnel: "If you had your choice, which would you pick?" Significant differences were found. Twenty-five per cent of "professional executives" and 60 per cent of "factory workers" said they would prefer a job which "pays quite a low income but which you are sure of keeping"; on the other hand, 35 per cent of the executives and 17 per cent of the workers said they would prefer a job which "pays an extremely high income if you make the grade but in which you lose almost everything if you don't make it."

These results relate to the study of Child and Whiting (1949). Concerning the effect of past performance on future aspirations, it was found that:

1. Success generally leads to a raising of aspiration. Failure generally leads to a lowering of aspiration, but generally not as great as the raising with success.
2. Failure is more likely than success to lead to withdrawal in the form of avoidance of setting a level of aspiration. The less frustration felt in moving toward a goal or the less frustration felt from not obtaining a goal, the less likely is the level of aspiration to decrease.
3. The effects of failure on the level of aspiration are more varied than are the effects of success.
4. The shifts in the level of aspiration are in part a function of changes in the subject's confidence in his ability to attain goals. For failure the opposite is true, but not at a statistically significant level.

Generally, these conclusions are agreed with by Gould (1939). However, Gruen (1945) has found some individuals who establish a level of aspiration lower than their

previous performance level. They do this to reduce the likelihood of failure. Thus, it is pointed out once again, that different individuals do not necessarily respond in the same manner to similar experiences.

Groups have an affect on the individuals' levels of aspiration, but the group affect is conditioned by the individuals' personalities. In one study, 160 college students were given a simple skill assignment. The subjects were divided into groups of eight. Each individual worked separately from his group and did not know the performance of the other members. Individuals who were assigned the most difficult goals tended to have higher aspirations than those assigned goals of lesser difficulty. If the individual had a relatively easy goal but received strong pressure to succeed from his group, he tended to establish a personal goal higher than that set for him by the group. The stronger the personal aspirations of the individual, the more likely he was to resent group pressure and set his own goals. Generally, those with low aspirations were not influenced by the group because they "didn't care."

Morse (1953) has found those whose perceived opportunity on the job was at least equal to the individual's need tended to have nearly maximum job satisfaction. Those who had the highest needs, decreased in job satisfaction as the perceived chance of advancement declined.

Job choice and satisfaction

In a series of studies in 1950 and 1952, Rosenberg (1957) sampled over 9,000 college students to learn their desired and actual employment after graduation. The general conclusion drawn was that the individual's choice of occupation was determined by certain psychological factors, and the occupation, in turn, tended to determine the individual's personality. The choice of career appears to depend on: knowledge of the world, the ideas of the nature of various occupations, the individual's education, the job skills required, and the perceived demands, rewards, and prestige of the job. The individual then assesses the demands of the job to his own perceived capabilities. Depending on the psychological make-up of the individual, he chooses an occupation that tends to be either people oriented, extrinsic reward oriented, or self expression oriented. If this were to hold for all occupations, it should give the manager some indication of the type of people with whom he deals and how they may be most effectively motivated.

In a study of Army privates Jenkins (1947), found that those who were most likely to be promoted to higher rank were generally better disciplined, more self confident, were more likely to feel that what they were doing was worth while, and had more favorable attitudes toward their superiors, than privates who were not subsequently promoted.

Involvement and recall

Zeigarnik's study, as reported in Marrow (1938), has shown that uncompleted, interrupted tasks were more likely to be recalled by subjects at a later period than were those tasks which were completed. There was the assumption that memory is activated by systems which remain in a state of tension because of the lack of completion. Lewis and Franklin (Lewis, 1944; Lewis and Franklin, 1944) expanded on this study in an attempt to identify more specifically the influences of certain factors on recall. Fourteen students were used as subjects. Of 18 tasks jointly begun by the subject and an accomplice, half were interrupted by the accomplice before completion, announcing that he would finish the tasks alone. Tasks completed by the accomplice - the co-worker - were no more remembered by the subjects than those which had been completed jointly. In some cases the subject did not even remember who had finished the task - only that it had been completed. The subject felt he was working as part of a team, and as long as he or the co-worker completed the task, the task had been completed, and to the subject that was what was significant. For the few subjects who remembered interrupted tasks more frequently than the completed tasks, they mentioned they had felt they were not working "with" the co-worker but that they were working "for" him - they did not feel they were

part of a team. This may suggest a difference in the needs of the subjects or a difference in the "leadership" behavior of the accomplice. Lewis suggests that cooperation requires the diminution of ego demands for the individual - cooperation requires that the individual have more concern for the group than for himself.

In the second study (Lewis and Franklin, 1944), two different methods were used to perform the same tasks. In each case the subject worked on the assigned tasks alone rather than with a co-worker. Half of the tasks were interrupted; in one approach the interrupted tasks were completed by a member of the research team in view of the subject. A greater number of the uncompleted, interrupted tasks were recalled; when the experimenter completed the tasks, there was a greater recall than for the tasks completed by the subject, but not as great as for those tasks that had not been completed at all. Fewer interrupted tasks were remembered when the subjects offered "advice" to the experimenter as he completed the tasks. The subject felt a greater part in the completion.

The authors concluded that interruption leads to greater recall when tension systems are aroused by the entire experimental situation. When tasks are used for ego enhancement, interruption is a blow to the ego status. If the subjects are task oriented, they are less likely to be

concerned if someone else completes the task. However, if interruption brings a feeling of failure, the subject may repress the feeling and will be less likely to recall failure.

Authoritarian and equalitarian personalities

There is much evidence to suggest that the "equalitarian" group member will make a greater contribution to goal accomplishment than the "authoritarian" member. After testing, Carter and Haythorn (1956) divided individuals into groups - eight groups of equalitarians of four members each and eight groups of authoritarians of four members each. Each group was presented with the problem of writing a script on "human relations." While results were not all of statistical significance, all were in the same direction.

Groups composed of authoritarians were characterized as: less involved in the task; more withdrawn; and tending to spend much of their time in playing and joking. More order giving was observed, and the members appeared to be less friendly. Generally, the groups lacked cooperative effort. For the equalitarian groups, there was more leadership displayed, greater sensitivity to others was shown, behavior was more goal-striving, and a greater feeling of security was displayed. There were more signs of agreeing, a greater expression of approval, and more diagnosing and clarifying occurred. The authors do not pursue the subject,

but there may be some question whether the equalitarian groups were more successful because of the characteristics of the members, or because the equalitarian groups develop more effective leadership, or a combination of both factors.

For equalitarians, this would appear to be consistent with the conclusions drawn by Guetzkow and Gry (1954) who found that those who expressed a self oriented need and who strove for individual - as contrasted to group - goals where disruptive to group integration. Such unproductive behavior would appear to be more characteristic of the authoritarian.

Reaction to group pressure

Crutchfield (1955) has conducted a study attempting to identify individual personality characteristics in a group situation. The approach involved the responses of individuals to group pressure in controlled situations in which subjects were likely to disagree. Subjects were leaders in their own professions. Fifty subjects in groups of five were used. Instructions were given to each subject to give his answers to a series of questions in a predesignated order with the other members of his group. Answer choices by each subject were shown to the other group members through flashing lights. However, the experimenters controlled the signal lights so that each subject saw only the responses the experimenters intended them to see. As the

study progressed, the subjects found for matters concerning clear-cut perception or logical judgments, all the other "subjects" agreed with them; in matters of opinion they sometimes agreed and sometimes did not. After a series of preparatory questions, a simple perception problem was presented. All four "responses" fed to each subject by the experimenter conflicted with the obvious correct answer; with group pressure, 30 per cent of the subjects selected the incorrect answer. Nearly one-third accepted the "group" consensus over their own perceptions. Generally, in ambiguous situations, 79 per cent agreed with the group. Of 21 test items, most subjects responded with the group on at least one. One subject responded with the group on seventeen items.

Subjects were measured for psychological characteristics. Those who conformed were characterized as being submissive, compliant, overly accepting, possessing a narrow range of interests, inhibited, unable to make prompt decisions, became confused when under stress, were disorganized, were unadaptive, and lacked personal insight. They also displayed an intolerance for ambiguity, favored conventionality, were anxious and disturbed, and displayed signs of dejection and a distrust of others. Comments characteristic of this group were: "I am in favor of very strict enforcement of all laws," and "Most people are honest chiefly through fear of being caught."

The non-conformists, who typically resisted pressure of the group and were more likely to be correct as a consequence, were characterized by terms generally opposite to the conformist. However, from some of the responses of this group, there is the possibility that there may be more involved than simply having more confidence than the conformist in personal judgment. The following comments were typical of the non-conforming subjects: "Sometimes I enjoy going against the rules," "I fool around with new ideas," and "A person needs to 'show off' a little now and then."

Conclusions are not entirely clear cut. Further questions are suggested from the discovery that 25 to 30 per cent of the subjects said they went with the group answer even when they did not agree with the answer. It was found, however, that typically an individual tended to conform or not conform in a rather consistent pattern. This latter observation is supported in studies by Rosen (1957) and Sherif (1939). Coleman, Blake, and Mouton (1958), in questions presented to 60 college students on such varied topics as current events, geography, government, literature, language, and science, found that the least informed students were most likely to conform to the group.

The individual and the group

As has been indicated, an individual's attitudes toward his job and his past performance affect his "psycho-

logical participation." Vroom (1960) finds that the more authoritarian the individual, the less favorably disposed he is to participation. Interestingly, the greater the need for independence, the more favorably disposed is the individual toward participation. Recalling the characteristics of successful leaders developed by Henry (1949), the comment by McGregor (1960) that the same characteristics that contribute to making a good leader are also the characteristics for any good group member, the conclusions by Vroom are significant. Vroom also finds that an individual's response is conditioned by personality, interpersonal skills, expectations, and emotional maturity.

To obtain insight into how individual members affect group characteristics, 16 students were rotated between five different groups of four members to perform reasoning, mechanical assembly, and discussion tasks. The purpose was to obtain insight as to how individual members affect group characteristics. It was concluded that the amount of individual effectiveness for the group depended on the amount of cooperation, efficiency, and insight the individual displayed. The most effective members were characterized as "mature" and "accepting." The least effective group members were those who were "striving for individual prominence." A member also decreased the group effectiveness if he was suspicious, unaccepting, aggressive, self confident or

initiating. The opposite type was also ineffective in the group; one who was talkative and mostly interested in social interaction decreased member motivation. The most effective members were recognized as such by the other group members; those who added most to the group goal were seen to be the most desirable members by the rest of the group. Those individuals most desirable were most efficient and insightful, and increased the motivation of the other members; in return, they were given the greatest prestige by the other members. Rosenthal and Cofer (1948), with experimental groups, found that even one indifferent or neglectful member had a negative effect that was sufficient to depress the goal expectations of the other members for both individual and group goals.

Attitudes Toward Leadership

Sanford (1952), from a sample of 963 men, selected 80 who were divided into two groups on the basis of those authoritarianism and equalitarianism. Although the results displayed some overlappings there was a marked tendency for the equalitarian to emphasize the "democratic leader function" and for the authoritarian to emphasize "material dependency." The equalitarian showed greater evidence of "warmth" and "humanitarian qualities."

In the same study no significant differences were found between the groups concerning their emphasis on power,

but interpretation of the meaning of power does vary. In response to questions most subjects in both groups admired Franklin Roosevelt, but for different reasons. The authoritarian evaluated him in terms of the concepts compatible to the authoritarian and the equalitarian evaluated him in terms of equalitarian concepts. (It would appear that the successful leader may succeed on the basis of not only what he is, but what others perceive him to be.) Conclusion that selection of a political candidate may be associated with individual's personality is supported by a study of college students (Milton, 1952). Of two choices presented for possible presidential candidates, those high in authoritarianism chose Douglas MacArthur and those high in non-authoritarianism - high in equalitarianism - chose Adlai Stevenson.

Wispe and Lloyd (1955) in a study of life insurance agents, found that high producers preferred a permissive group with which to work and viewed their superiors as "non-threatening"; low producers desired a structured group and saw their superiors as threatening. Again, the performance of the equalitarian personality proved to be superior over the authoritarian personality. In an extensive study of the "authoritarian personality" (Adorno, Frenkel-Brunswid, Levinson, and Sanford, 1950), it was concluded that the authoritarian member of an organization prefers to be

dependent - he would rather be told what to do than to participate in group decision making. Gordon (1955) finds that such a person submerges his own uniqueness in order to conform to the expectations of his leader, is wary of taking a stand, and will support what the leader approves. This is not interpreted as being desirable. Such a person accepts the leader as being infallible because he is unable to evaluate either his own worth or that of his leader. Obviously such a person may be of little value in a group cooperative situation. The opposite reaction to authority is that of the "reactive" person, but is equally ineffective in a group situation. He tends to be critical of the leader, but unlike the truly effective participating member, his main goal appears to resist; he may provide no counter-proposals as constructive alternatives.

Need, satisfaction, and morale

Whether individuals will produce at a high level depends on, among other things, their path-goal perceptions. To the extent that high productivity is perceived as potentially instrumental in attaining their personal goals, they are more likely to produce at a high level. If other means are perceived as being more effective, they will direct their energies in some other direction (Georgopoulos, Mahoney, and Jones, 1957). Personality has energy, and the energy is located in the need systems (Argyris, 1957). The

need which exists is in the personality - Argyris believes that a need is the personality - and needs relate to each other. Perhaps the most significant concept to the present discussion is that the need causes the individual to initiate and guide his behavior until the goal or a substitute goal is reached. Factors by which the individual is "favorably motivated" are (Cleeton, 1951):

1. Leadership which he can like, respect, and admire.
2. Surroundings which promote physical well-being.
3. Acceptance as a recognized member of a group.
4. Recognition as an individual and partner, not as a servant.
5. Fair treatment in relation to others.
6. A reasonable sense of permanency.
7. Knowledge of the results of his efforts.
8. Knowledge of the organizational plans and policies.
9. Approval for special effort or good results.
10. Respect for his religious, political, moral, and social beliefs.
11. Evidence that other workers are doing their share of the total production.
12. A friendly atmosphere in which he is considered with respect by his fellow workers and his superiors.

In a survey of research reported in the literature to identify factors which lead to high morale and job satisfaction, it was found that each of the following was influential (Viteles, 1953):

1. Type of job.
2. Status of the group.
3. Perceived adequacy of pay.
4. Methods of pay.
5. Job security.
6. Opportunity for advancement.
7. Recognition of contributions.
8. Types of supervision.
9. Working conditions.
10. Hours of work.
11. Adequacy of equipment.
12. Identification with the organization.
13. Identification with the union.
14. Amount of participation in decision making.
15. Task involvement.
16. Acquaintance with organization policy and practices.
17. Relations with fellow workers.

Kahn (1951) has provided a guide of independent factors to be used in a factor analysis of the reasons for the level of worker satisfaction:

1. Satisfaction with material rewards: present and future pay, opportunities for learning and promotion.
2. Satisfaction with the work: extent the job is challenging, interesting, and provides status.
3. Satisfaction with the company as an organization: working conditions and company operations.

4. Satisfaction with the competency of those around him: supervisors, technicians, and peers.

Changing of Personality

Recognizing the uniqueness of personality and that some personalities are more conducive to individual and/or group action, it is important to the leader and the organization that some personality characteristics be reinforced, some be changed, and some modified. It has been suggested in some studies that attitudes can change. Krech, Crutchfield, and Ballachey (1962, pp. 216-246) summarize some of the current thought concerning this problem. The success of changing an attitude will depend upon the attitude's: extremeness, multiplicity, consistency, interconnectedness, consonance, strength, the number of wants it serves, and the centrality of the value to which it is related. The ability to change an individual's attitude depends upon his: intelligence, general persuasibility, self defensiveness, and cognitive needs and styles. Attitudes can only change from one of the following causes: exposure to new information, a change in group affiliations, enforced modification of behavior, or procedures which change the personality. The direction and degree of attitude change is induced by additional information as a function of the situational factors, and the source, medium, form, and content of the information.

Summary

Some of the characteristics of individuals which can be expected to cause different individuals to react differently to the same leadership patterns and the same forms of motivation have been reviewed. The examples used have not been exhaustive in nature, but are intended to give a greater appreciation of the problems involved for the leader in his attempt to create the most productive and efficient organization possible.

CHAPTER IX

GROUPS, ORGANIZATIONS, AND TASKS

Groups and the Organization

Importance of group study

Almost every group comes into being as a social device to meet certain wants of its members. In the formal organization, it is to satisfy the needs of the owners through the satisfaction of the needs of the clientele. As individuals, employers are brought into the formal organization to serve these purposes. As individuals and as group members, they will, in turn, attempt to control the organization to the extent of satisfying their own needs. The intended purposes of the organization can be considered as the "formal" organization, and the resulting inter-relationships of its members as the "informal" organization. In the following discussion, emphasis will be related to behaviors of the informal group within the formal organization.

Two conclusions by Stogdill (1960) relate to the purpose of dividing the analysis of group members into two parts - the individual member, just discussed, and the membership group which follows. First, he believes that it

is not possible to describe groups in terms of the same concepts as individuals are described, and second, he believes the group should be the central point for study. Certainly, it is the results of total group effort rather than that of separate individuals with which the leader is most concerned and for which he is responsible. Stogdill quotes Tarde, Durkheim, Cooley, and Mead to support his contention.

Limitations of group study.--Darley (1961) believes group studies of a systematic nature are too few. He has found no good classification system for groups, no clear sampling characteristics of the universe of the groups, and no criteria for efficiencies of groups. He believes, with Stogdill just cited, that writers are too quick to generalize from the behavior of individuals to the behavior of groups.

As was done for the study of individuals, it is necessary to be aware of these weaknesses and to benefit from the studies that have been made.

The study of group behavior.--To understand the behavior of individuals in a group, Carter (1954) believes it is necessary to observe, understand, and describe his:

1. Individual prominence.
2. Group goal facilitation.
3. Group sociability.

For groups, Cattell (1948) suggests that they must be measured at three "levels":

1. Syntality (group behavior).
2. Internal structural arrangements.
3. Characteristics of the "average" member.

The following are provided as scales for measuring the dimensions of social groups (Hemphill, 1956): size, viscidty, homogeneity, flexibility, permeability, polarization, stability, intimacy, autonomy, control, potency, hedonic tone, participation, and dependency.

Role of group members

There are certain factors of group functioning which interfere with an individual's role perception, and, therefore, with his role enactment and efficiency. These are described by Hartley and Hartley (1952) as:

1. Limitations imposed by the nature of the role.
2. Limitations on the individual's choice of roles.
3. Variations in the definitions of a role by different people.
4. Simultaneous imposition of different roles on the individual.
5. Discontinuity in the role behavior demanded at different developmental stages during the life of the individual.

Even though it is recognized that an individual can adapt and his attitudes can be changed, the advice by

Argyris (1957, p. 57) is significant. He points out that although most organization theorists believe personal adjustments can be made as necessary, fewer changes will be required if the organization has a design and plan that assumes it has the ideal material to work with. Also, the closer the organization is designed to recognize member needs, the more it will tend to obtain maximum economy and efficiency through their efforts.

Raven and Rietsema (1957) have studied, in a controlled setting, the relationship between the clarity of group goals and the paths to the goals as they relate to the individual's adjustment to and relationship with the group. With clear goals, there was an increased feeling of group belonging, members became more involved with group tasks, there was increased group sympathy, the individual was better able to perceive social differentiations, and was more willing to accept influence imposed by the group. Without face-to-face contact with other group members, there was a reduction in the attraction felt toward the group. With clear goals, members are better able to select those members who were contributing to and detracting from social interaction. That is, when the individual has a better idea of where the group is going, he can better identify those who are aiding or hindering the group toward the accomplishment of its goal. As the individual becomes

more involved, through clearer goals, he tends to feel less satisfied if the group is not doing well; if the task is not clear, the individual is less able to become involved, and he tends to be more concerned about his personal performance and less concerned about the group performance.

Group status

In the same study (Rietsema, 1957), artificial status relationships were established. It was observed that high status members communicate more with other high status members, low status members communicate more with high status members, and when high status members communicate with low status members, most of the communication concerns work problems. Katz, Goldston, and Benjamin (1958) have conducted a laboratory study concerning group status. Four member groups met to solve human relations, logic, and small construction problems. During the course of the meeting, no difference was perceived between high or low status members initiating communication. It was found, again, however, that both high and low status members tended to talk more to high status members. Kelley (1951), in another experimental study, found that low status groups spent more time, than did high status groups, in discussions of topics that were not relevant to the task. It was suggested that the low status groups talked about non-task subjects as an escape from the low esteem in which they and

the members of other groups held them. For groups of Air Force officers and enlisted men in problem solving tasks, there was a loss of group efficiency to the extent that the person with the correct answer did not influence the other group. The significant element was that the lower the status of the member, the less he was likely to attempt to influence the group, even when he had the correct answer. This concurs with a community study by Brown (1953). White collar employees, with relatively higher incomes, and who had a higher than average levels of education - had higher status - were expected by others, and felt obligated themselves, to be more active in community affairs.

It is true, generally, that successful and high status groups hold an attraction for their members. In a study of Army rifle squads (Goodacre, 1953), those which had received the highest scores on tactical problems, members were identified by more "buddying around" during off-duty hours, by giving more orders to each other, by fewer disagreements about the way the squad leader ran the problem, by more satisfaction with the positions held by the individual members, and by more pride in the group.

Status can mean different things to different people, however. Managers and non-managers in a plant employing 300 employees were surveyed about their concepts of status (Triandis, 1959). All groups saw any given organizational

position in terms of status, but to top management status meant belonging to the right clubs, for lower management it meant a title and power, and for workers it was expressed in terms of income.

Vroom (1960) compared top and middle management attitudes with those of the non-managerial workers concerning general atmosphere, supervisory methods, product planning, and expansion. Generally, both managers and workers estimated that their own opinions about these matters were closer to their own group than it actually was. If an individual had positive attitudes toward his group, he tended to attribute his own attitudes, opinions, and goals to the other members of his group; if he had negative attitudes toward the group, he tended to think the group's goals are further from his own than they actually were. Interestingly, actual organization goals are most accurately seen by those individuals who had either the most positive or most negative attitudes toward management.

Group size

In a heavy machinery manufacturing plant, Seashore (1954) found that greater peer group loyalty caused greater influence by the group on the goals of the individual member. In this study, 228 work groups, ranging in size from 4 to 22 members were observed. The larger the group the less group

cohesiveness there tended to be. It was also more difficult for the larger group to influence its members.

Ross (1951) has found that with small, well knit groups there is greater loyalty among members, and, as a consequence, the members are better able to effectively face stressful situations. The small groups, however, were most adversely affected when a new member came into the group; each member of a smaller group has a stronger relative impact. Gibb (1951) worked with experimental groups ranging in size from one to 96 members. Three groups of various sizes were studied. Each group performed one task under a stressful situation and one task under a non-stressful situation. For all groups both the number and quality of solutions were better under the non-stressful situation. In addition, the total number of ideas contributed increased with an increase in group size, but not in proportion to the number of members - there was the effect of diminishing returns. Also, as more formalized procedures were introduced, there was a decrease in the number of ideas contributed. In a study of 5 and 12 member Boy Scout groups, the 5 member groups arrived at a higher level of consensus after discussion than the larger groups. Also, the larger group had more limited participation of all members (Hare, 1952). These results agree with those of Bales, Strodtbeck, Mills, and Roseborough (1951). In addition, as group size

increases, the most frequent contributor assumes an even more prominent role in the discussion, and the larger the group the greater is the gap between the amount of participation by the most frequent and the least frequent contributor. Stephen and Mishler (1952) also found the higher the rank held by an individual, the greater his participation. Hemphill (1950) observed that as the groups increased in size - the breaking point appeared to be about 30 - the leader showed a tendency to become more autocratic. Increased size placed greater demands on the time and attention of the leaders so that they were unable to give individual attention to the special problems of the various members. Equally significant, as the groups increased in size, there was increased tolerance on the part of the members in accepting autocratic leadership. The members were aware of the change in the leader's behavior, but recognized his increasingly difficult task in dealing with a larger group. Because of these results, the author concluded that it may not be appropriate to apply results of small group studies to the study of larger groups. In another large group study, member attitudes of 1100 chapters of the League of Women Voters were measured (Likert, J., 1958). Most members felt the league increased in effectiveness as a chapter approached 400 members, but beyond that number there was observed a gradual decrease in the proportion of active members. At higher levels, group officers

were more likely to perform activities that were performed by the general membership of smaller groups. A decrease in effectiveness was also detected when a league meeting was attended by a visiting official. The most effective leagues contained a relatively greater number of members who felt they were influential in group decisions; they were also the leagues which had leaders who desired that the members be more influential. The greater face-to-face contact, the greater amount of general information exchanged, and the more satisfied the members, the more effective the league tends to be. It also appeared that a certain amount of pressure on all members to participate aided the group's effectiveness, but this pressure was most effective when it came from the other members rather than from the leaders. It is well to recognize that few managers in an actual work situation supervise directly the work of as many as 30 employees. It is only at the lowest levels in an organization that there are any significant examples of a manager having 30 or more subordinates reporting directly to him. When this does occur, it is usually in circumstances in which most of the subordinates perform nearly the same type of work in a rather close geographic area. Also, both of the previous two group studies suggest that even though subordinates may desire and react favorably to participation in decision making with their immediate superior, they will not

necessarily desire or expect participation with management at the next higher level.

Slater (1958) utilized groups ranging in size from 2 to 7 members. Each group held four meetings and discussed human relations problems of a "creative" nature. After each meeting, group members were asked to indicate their satisfaction with the session. Those in groups with more than 5 members generally reported they felt the groups were disorderly, that there was wasted time, and that some members were "too pushy," aggressive, competitive, and "high-handed"; some members asked for more central control. In groups with less than 5 members, there was a general feeling that the groups were too small; for the smaller groups, observers concluded that in the smaller groups, interaction through the expression of ideas, was inhibited because of fear by members of alienating the other group members or of destroying the group. It was the 5 member groups in which all participants felt complete satisfaction with both the group and the results obtained. South, in an early study (1927), using 3 and 6 member groups on abstract and concrete problems, found that 3 member groups were faster than, and as accurate as, 6 member groups on concrete problems; 6 member groups were faster on abstract problems.

In summarizing on effect of group size, Talacchi has concluded that "the small organization with informal face-to-

face relationships between executives and rank and file was found to be most efficient economically and most satisfying from a human point of view....Increased size increases division of labor and status differentiation, both leading to a lower level of employee satisfaction." The following hypotheses have been derived (Talacchi, 1960):

1. The general level of employee satisfaction is inversely related to increased size of the production unit.
2. As organization size increases, the level of satisfaction varies as follows:
 - a. Satisfaction in each of the three areas concerned with interpersonal relations - employee-management, employee-supervisor, and employee-employee - decreases.
 - b. Satisfaction in non-material rewards of the job decreases.
 - c. Satisfaction in material rewards of the job does not decrease.
3. The level of employee satisfaction is inversely related to:
 - a. Turnover.
 - b. Absenteeism.

Group composition

Gattoll, Saunders, and Stice (1953) experimentally studied 80 subjects divided into groups of 10 to perform a variety of tasks. Group judgment was found best when the group members were heterogeneous in surgency, radicalism, character integration, and adventuresomeness. Decision

making was slowed when the members were heterogeneous in sensitivity, suspiciousness, and aggressiveness. However, Ghiselli and Lodaho (1958) using 10 groups of 2, 3, and 4 members in a skill problem, concluded that there was little effect on performance whether the group members were homogeneous or heterogeneous in characteristics.

Hoffman (1959) has studied the effect of member personality on group problem solving. The study utilized nearly 180 students divided into groups of 4. One type of group was composed of persons possessing both positive and negative characteristics. The other type of group included members who all were approximately neutral. Persons who had many "directions" available were more likely to be successful in solving problems than were those who were inflexible. Generally, it was concluded that the abilities of any one member were important to group success only as he related himself to the needs of the other members of the group. In this study, heterogeneous groups were consistently superior to the homogeneous groups on all tasks.

Competition-cooperation

Deutsch (1949) compared the effects of competition versus cooperation within groups. Five pairs of matched groups meet for several sessions over a period of 6 weeks to solve logical puzzles and human relations problems. The members of the cooperative groups were told that their

groups were to be evaluated as a whole compared to other groups; members of the competitive groups were told that each member was to be ranked on an individual basis. Cooperative groups were both more effective in obtaining their goals and the members displayed greater satisfaction. The cooperative groups had: higher production in quality and quantity, stronger group pressure to achieve, more efficient division of labor, more efficient coordination, fewer communication problems, greater friendliness, and greater satisfaction with the group and the group's performance.

Group member preferences

In a highly meaningful study of an actual work situation, VanZelst (1952) had carpenters and bricklayers on a housing project select, by sociometric regrouping, the other craftsmen with whom they wanted to work. Work teams were assigned on the basis of these preferences. After the reassignments, job satisfaction increased, turnover decreased, and output increased by over 3.5 per cent.

Group communications

Relationships between members are influenced to a great extent by the communication nets within the organization. Studies by Leavitt (1951) have been widely quoted; other researchers have conducted similar experiments and

have expanded upon Leavitt's original approach. Figure 9-1 displays communication nets with which Leavitt experimented. Each circle indicates an individual member in the net; the lines between the circles indicate the lines of communication permitted. Generally speaking, of the following "communication nets," the wheel is the fastest, especially for more simple problems, while the circle provides the greater satisfaction for the members as well as often being the most effective for complex problems.

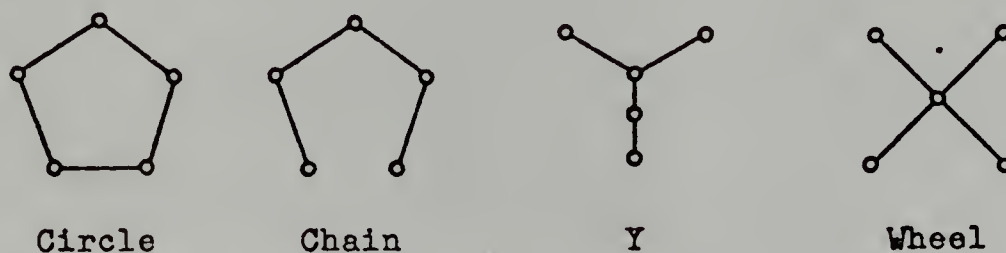


Fig. 9-1.--Communication nets.

The form of the net affects the centrality of the various members which, in turn, affects member behavior, the amount of independent action, and produces different activities, accuracy, satisfactions, leadership behaviors, and recognitions. Utilizing Leavitt's approach, Guetzkow and Dill (1957) studied the performance of 56 groups of 5 men each. Each member was provided one piece of information required for the solution to a problem. The goal was to find which piece of information was missing. Each group performed 20 tasks. To the nets utilized by Leavitt, the

researchers added an "all channel" net - Figure 9-2 - permitting all members to communicate with all other members.

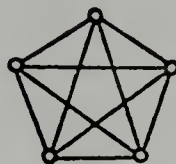


Fig. 9-2.-All channel net.

The following are results of the study. The circle and the all channel tended to be time consuming unless a hierarchy of command was developed within the group. That is, although the freer communication of these two nets led to more efficient operation, the members needed structure and guidance. Both the circle and the all channel nets were equally rapid when hierarchies were established. At the beginning of the tests the all channel net sent more messages than the circle, but as the groups became more organized, the number of messages for both groups decreased. The all channel net led to even higher motivation than the circle. Again, the optimal persons for particular positions in the organization established the social structure - the hierarchy and status relations - in the net; when communication restricts the selection of the optimal persons, the establishment of the social structure is retarded. Freedom of communication was found to increase group effectiveness through insightful and planning mechanisms.

Group influence on members

A number of studies have indicated the influence of the group on the individual in causing him to change his attitudes and/or his behavior (Asch, 1955, 1956; Crutchfield, 1955; Pennington, Hararey, and Bass, 1952). The most frequently cited study is that of Lewin (1952) in which the attempt was made, during the Second World War, to induce housewives to use lesser grades of meat in their cooking. For groups in which the lecture method was used, only 3 per cent of the housewives tried the lesser grades recommended; in groups using the discussion method, 33 per cent tried them. Bennett (1955) cautions that discussion alone is not sufficient, however. Following the group discussion, the individual participant must also make the decision to act, preferably orally so that a commitment is made and heard by others, and the individual also needs to perceive that the other members of the group have made a commitment to change. Walker (1948) adds that, for greater commitment, it is also important that those to be influenced understand the background information on how the decision was made.

The Task

Emphasis in this chapter to this point has emphasized the effect of group composition and organization structure or the effectiveness of the group. In the following studies,

examples are presented which point out the reactions of individuals and groups as they are affected by the tasks in which they are involved. Attention to the influence of tasks is of considerable significance for the leader; it is because of the tasks that the manager and his subordinates are employed, and it is through the effective direction of subordinates in this performance of their tasks that the leader's effectiveness is observed. Few organizations can be found that have a greater variety of tasks and specialties to be performed than the hospital. An understanding of the task as related to group effectiveness should be a major concern of hospital managers in all departments.

Lewis (1944) has concluded that not all group members are dominated by a drive for ego satisfaction or for the accomplishment of personal goals, but frequently are motivated directly by the demand of the objective situation itself.

Type of work

In their attitudes toward their jobs, it was found by Kelly and Thomas (1949) that overall satisfaction of workers in coal mines was low, even though 70 per cent of the miners surveyed considered management fair and 65 per cent said they considered wages adequate. The significant aspect causing their generally negative attitudes was the job itself which was considered to be unhealthy and unsafe

by the men. Kerr and Siegal (1954), in a study of labor-management relations, found that certain industries typically had greater labor strife than others. The phenomena was seen as being inherent within the industries themselves because the same patterns held even between nations. For example, coal mining typically had a high amount of labor management strife while the clothing industry did not. Strife was most closely associated with: large numbers of workers, homogeneity of duties among workers, workers living close together in the community, and a worker group being relatively isolated from workers who performed other types duties and management. Trist (1951), in a study of underground coal mining, found an increase in absenteeism, quits, and psychosomatic disorders when the work was reorganized so that there was less face-to-face contact between workers on the job.

Group member tasks

Benne and Sheats (1948), in an extensive study of discussion groups, have classified various functions that are performed by the group members as a discussion progresses. As would be expected, certain personalities are more likely to perform certain of the roles identified. However, the situation itself appears to create opportunities for members to perform in particular ways at particular times. The three major classifications of roles for group discussion are:

1. Group task roles: The participant role is related to the task which the group is deciding to undertake or has undertaken. The roles facilitate and coordinate group effort in the selection, definition, and solution of a common problem.
2. Group building roles: Members are oriented toward the functioning of the group as a group. The roles are to alter or maintain the group way of working, to strengthen the group, and to regulate the group.
3. Individual roles: These are not member roles as such. These participants are directed toward the satisfaction of individual needs. Some of the individual goals are not relevant to either the group task or to the function of the group.

While Benne and Sheats point out that particular roles must be played at appropriate times for maximum group effectiveness, Bales (1957) has found that group members, consciously or unconsciously, generally recognize the role that needs to be played. In his study, 30 groups of 5 members each met in a series of 4 meetings with the assigned task of arriving at a single solution to a problem posed to them. In the first meeting, the most liked member was the one who was perceived by the other members as providing the best ideas and was able to guide the discussion; by the fourth, and last, meeting, the best liked was chosen for the same reasons - the best ideas and ability to guide discussion - but the member chosen first in the first session had typically dropped to fourth place in popularity by the last session. In the first meeting, members see a need for an "idea" man who is task oriented and aggressive; by the last meeting, when much of the preliminary searching has been

concluded, the group wants a social-emotional specialist. Apparently, in most cases, the leader in the first meeting is not perceptive enough to recognize that the criteria for leadership success have changed with a change in task development.

Leadership and Attitudes

Similar results of changes in attitudes brought about by changes in tasks have been reported in a study by Tannenbaum (1957). Two hundred women employees were measured on 26 personality traits. During the investigation, half of the subjects experienced an increase in management control and half a decrease. After a time, changes in the personalities of members of both groups were found. The results indicate that personality traits move to be in equilibrium with the environment.

Leadership and member contact

In a scientific setting, Meltser (1956) has observed scientific productivity was highest when those performing research were given adequate freedom. Those who were less productive had less freedom and had less in equipment with which to work. Pelz (1957) presents another study of a scientific setting. He has found the most productive environment for productive research is one in which the researcher has frequent contact with his superior. The

supervisor must show an active interest in the work, but must display a form of "hands-off direction."

The "isolate" scientist who rarely has contact with his colleagues, is likely to be lower in production; his is a situation of freedom without stimulation. The more productive researcher is also more likely to have contact with those who disagree with him as a form of stimulation. There is also need for support, however. The most productive tend to have the same goals as their supervisor or a respected colleague.

In a series of 4 person group studies, Nash and Wolfe (1957) had each subject explain his response to a Rorschach Ink Blot Test card to the rest of the group. Each member was to explain his response to the group. One member from each group was sent to 2 different groups after 3 initial trials with his original group. The same method of explaining responses was repeated with each new membership group. Finally, the rotating members were returned to their original groups. It was found that the "stranger" was less inventive in the new groups than were the regular members of that group. The strangers tended to be more constrained and inhibited. However, when they returned to their original groups, they tended to be more inventive than their fellow members who had not left the group.

Behavior and tasks

The role of the leader often affects significantly the behavior and attitudes of the person performing the leader's role. In one study (Berkewitz, 1956), forty college students were divided by personality characteristics of high, moderate, and low ascendancy. Theoretically, in any group activity, the high, followed by the moderate, and finally the low ascendant personality, in that order, would be expected to become the group leader. However, for the study, the communication net for the group was so structured that all members were rotated into the position of leader at least once, and all the other members were required to communicate with the leader for the group to accomplish its tasks. With experience, even the low ascendant members in the central - leadership - position became more like the high ascendant person when in the central position. The demands of the position tend to count more in determining behavior than the individuals' characteristic levels of ascendancy.

Attitudes and task

The second example of the leadership role on behavior and attitudes, comes from industry (Lieberman, 1954, 1956). A company wide attitude survey was made in which 2500 of the 4000 employees were asked to complete questionnaires. The following year, of the 2500 workers, 23 had been promoted to

the position of foreman; 35 had been elected by their fellow workers to be union shop stewards. A second questionnaire was administered to these new foremen and stewards. The first questionnaires filled out by these 58 employees before their advancements were compared with the results of those who had not changed status. Those promoted had indicated greater dissatisfaction with their jobs, were of higher intelligence, and believed they had more ability than their co-workers. After their promotion, the new foremen saw the company as a better place to work, and held more favorable attitudes toward management. The new stewards were more favorably disposed toward the union than they had been before their election. A third study was conducted after the lapse of another two years. Twelve of the newly promoted foremen still held their positions; of the 35 newly elected stewards, 6 remained in that position. The foremen who were returned to worker status lost most of the newly gained favorable attitudes about the company and its management. Those who continued as foremen held their new attitudes or became even more pro-management. There was no further marked change in the shop stewards, either those who were no longer stewards or those who continued as stewards. The author suggests that the role steward is more like that of a worker than is the role foreman so there is less likelihood that the stewards' attitudes would change. For the foremen, change in roles brought about both

a change in reference groups and membership groups. This, in turn, created a new frame of reference, new self concepts, and new vested interests.

Summary

A brief look has been made of the group as affected by its composition, structure, and tasks. It has been suggested that although certain generalizations can be made, each group must be looked at specifically. Recognizing the importance of these variables, and having already discussed the leader in Chapter VII, Chapter X specifically deals with leadership - the bringing together of the leader and subordinates in a given organizational setting to perform a particular task in a specific manner for greatest efficiency and effectiveness. It is certainly the most effective leadership to which the management development program should be directed.

CHAPTER X

LEADERSHIP: A METHOD

Leadership Patterns

Available leadership patterns

Tannenbaum and Schmidt (1958) have presented a conceptualization of the various leadership patterns available to the leader. Figure 10-1 is taken from their presentation.

These leadership forms need not be viewed on an "either-or" basis. Theoretically, the leader may use a number of forms, making his choice on the basis of the total situation. Various terms have been used to identify the basic leadership patterns, but for purposes here the term Autocratic Leadership refers to leadership behavior suggested at the left of the scale on Figure 10-1. Such a leader mainly seeks obedience from his group. He determines policy and considers decision making his responsibility alone. Democratic Leadership refers to the form of leadership on the scale to right of center. (Basically, this is variously called in the literature by such terms as: Participative Management, Participative Consultation, and Theory Y.) In this approach the leader draws ideas and suggestion from the group through discussion and consulta-

Boss Centered Leadership Subordinate Centered Leadership

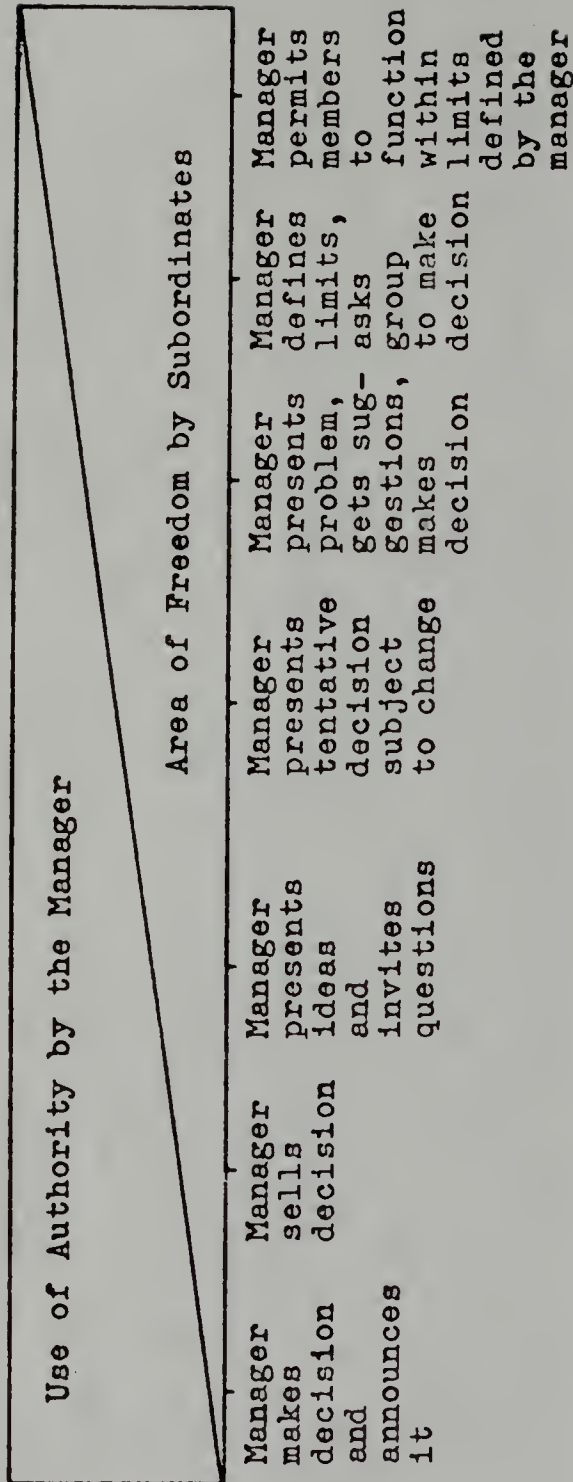


Fig. 10-1.--Continuum of leadership behavior.

tion. Group members are encouraged to take part in setting policy. The leader's job is mainly that of moderator. The term Laissez Faire - "let alone" - Leadership refers to the leadership pattern on the right of the scale. The leader exercises a minimum of control and acts mainly as an information booth. He plays down his role in the group's activity. He is on hand mainly to provide materials and information. It is of value to observe the effectiveness of groups under each of these varied forms of leadership.

An experiment in leadership

The three terms for leadership behavior as defined above were adapted in a series of studies with boys' groups (Lewin and Lippitt, 1938; Lewin, Lippitt, and White, 1939; White and Lippitt, 1953). Early studies in this series involved the autocratic and democratic methods of leadership; later the laissez faire method was introduced.

The procedure.-In these studies, boys, 10 to 12 years of age, volunteered for membership in a club. They were divided into groups after being matched for such factors as friendship, rejection, general popularity, and leadership. Initially, each group was subjected to one of the three forms of leadership - autocratic, democratic, or laissez faire - with adult leaders performing the type of leadership role on a predetermined basis. Task projects for group

participation included mask making, mural painting, soap carving, and model airplane construction.

In the autocratically led groups, policy was set by the adult leader, the members were told what jobs to perform, how to do them, and were told the other members with whom they were to work. Further actions were left uncertain in the minds of the members. The leader remained aloof from the group and what contact he had with them concerning praise or criticism was on an individual basis. In the democratic groups, the projects were selected by the members within limits set by the leader, the members were free to work with other members of their own choice, and they divided the work in the manner they chose. The leader suggested alternative approaches leaving final decisions to the members. He remained objective in his comments and evaluations. In the laissez faire method, the members were given complete freedom without the leader's participation, limiting his activity to providing materials and giving aid only when asked.

The results.-In all groups, for a given type of leadership, the results were basically the same. In the autocratic groups, the members tended to be in a high state of tension, there were unstable group structures, many attempts to ascendance were made by members, members tended to be careless in their work, much of the work was left

unfinished, work became disorganized, and non-work behavior resulted when the leader left the room. In the democratic groups, there were greater expressions of cooperation between members, more examples of praise of the work done by others, greater evidences of friendliness, more objective appraisals in comments toward each other, greater signs of a feeling of group membership, more stable group structures and, on the whole, superior finished products. The results of the laissez faire method have not been as clearly documented, but it appears little coordinated effort was ever obtained. Without some limitations and guidance, little was ever accomplished and much "horse play" occurred.

Alternative methods were introduced by having the adult leaders change their patterns of leadership behavior, and by rotating the adult leaders so that each group was exposed to two or more adult leaders and to all three forms of leadership. The results tended to be consistent. After a time, each group reacted to the particular leadership pattern so that their behavior was as described above. The critical factor in the behavior and productivity of the groups was concluded to be the form of leadership.

The possible conclusion is that the autocratic method does not permit individual freedom and the members seek other forms of expression at the sacrifice of the leader established goals. The members of the democratic groups

were allowed to express themselves concerning formal goals with the result that they did not seek less productive means of expression; their energies were directed toward group goals. The laissez faire method, however, appeared to go too far in permitting free expression; little of a constructive nature was gained in the absence of direction.

Attitudes of leaders

McGregor (1960) has identified what he considers to be assumptions managers make about their subordinates when they apply autocratic leadership. The autocratic manager believes that:

1. The average human being has an inherent dislike of work and will avoid it if he can.
2. Because of this dislike of work, most people must be coerced, controlled, directed, and threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.
3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all else.

On the other hand, McGregor suggests the democratic leader perceives his subordinates from a different frame of reference. The assumptions made by the democratic leader are:

1. The expenditure of physical and mental effort in work is as natural as play or rest.
2. External control over an individual and threat of punishment are not the only means for bringing about effort toward organizational objectives.

3. Commitment to objectives is a function of the rewards associated with their achievement.
4. The average human being learns, under proper conditions, not only to accept but to seek responsibility.
5. The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.
6. Under conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilized.

Leadership on-the-job

There is properly some question whether results obtained under experimental conditions, using a group of boys with an adult leader, and meeting on a periodic basis, can be generalized to an actual work situation with adult employees, in a formal organization, performing on a day-to-day basis. An attempt to answer this question has been presented in a number of studies. One of the best documented studies related to this concerns a production problem in a clothing manufacturing plant described by Coch and French (1948).

The procedure.-The study concerned the changing of work procedures to an improved method of assembly developed by the production department. One control group and 3 experimental groups were used. The control group was treated as had been done in the past when a production change was made; the production department made the study, modified the job, and established a new piece rate. A meeting was held

to notify the affected workers of the change. Questions from workers were answered. After this brief orientation, the employees returned to their work stations to begin the new procedures.

In experimental group 1, a similar meeting was held. Workers were told that a production change was necessary. In addition, need for the change was graphically illustrated by showing the workers two identical garments, one assembled by the old method and one by the improved method, pointing out that the new method reduced production time by half. Management then presented its plan for making the change. Selected workers from the group would be trained in the new method. Standards would be based on the performance of these trial workers, and the trial workers would, in turn, train the other members of group. The group accepted the plan without discussion. Following this meeting, the trial group met, discussed the problem, made suggestions, and began working on the new method.

Experimental groups 2 and 3 each contained fewer members than did either the control group or experimental group 1. The introductory procedure was the same as for experimental group 1 except that all workers tried the new method in the beginning after discussion - all were "trial" workers.

The results.—The control group can be compared, within limits, to the boy's groups (White and Lippitt, 1953) under autocratic leadership. The experimental groups, especially 2 and 3, came closer to representing the boys' democratic groups although the amount of group decision making was less than for the boys' groups. Experimental group 1 would fall somewhere between the control group and experimental group 2 and 3 - somewhere between the center and the lefthand side of the scale in Figure 10-1.

The results were as would be anticipated from the results found in the boy's groups. The control group actually dropped in production immediately after the change, and over a period of 40 days never recovered to the level of output under the old, theoretically less efficient method. The behavior of the group was characterized as displaying "aggression against management," which included worker conflicts with the methods engineer, hostile expressions toward their supervisor, restrictions of output, and a general lack of cooperation with the supervisors. Within this 40 day period, 17 operators quit their jobs.

In experimental group 1, there was an initial decrease in production below the level of the old method, but this soon was recovered, and, eventually, production exceeded that obtained under the old method. There were signs of cooperation, and workers were permissive and worked well

with both the methods engineer and their supervisor. One aggressive act was reported in the 40 day follow-up.

For experimental groups 2 and 3, in which the greatest amount of individual and group expression occurred during planning, production immediately increased at the time of the change, and throughout the study was consistently higher than that of the other two groups. In addition, no aggressive acts were reported and none of the workers quit their jobs.

It is unfortunate for comparative purposes that the laissez faire method was not as well. (It is also to be noted that an additional variable was introduced by not holding the sizes of the groups constant - the smaller groups were the most productive after the change.) However, there is the indication that permitting group participation in decision making within limits set by the leader contributes to greater output and less disruption from aggressive acts and labor turnover.

The Effective Leader

In a review of the literature from 1900 to 1957, Mann (1959) found certain characteristics of successful leaders. The most successful were more dominant, more extroverted, more masculine, and less conservative. They also had a greater interpersonal sensitivity than persons on the

average. Kahn (1956), in concluding from studies of leadership behavior, related to productivity, found that leaders of high production groups tended to be employee-centered in their approach as observed by researchers, and were perceived by their subordinates as being both employee-centered and production centered. This was in contrast to the less effective leaders who perceived themselves, and were perceived by their subordinates, as being production centered only.

It is appropriate to review further studies in an attempt to ascertain if certain leadership behaviors can be identified as being most effective in a variety of situations.

Leadership related to tasks

Insurance agency. - Likert and Willits (1940) compared the sales performance of life insurance agencies to the agents' perceptions of the managers' behaviors. The results given in Figure 10-2 are based on comments of the agents concerning the behavior of the managers who supervised their work.

Managers who were interested in their agents as individuals - or were seen by the agents as being interested in them - were shown to be the ones with the most effective work groups as measured by actual sales performance.

Trait of the Manager	Favorable Comments (In %)	
	Superior Agencies	Mediocre Agencies
Cooperative with agents	92	35
Interested in Agent's success	100	54
Democratic toward agents	81	36
Sincere in dealing with agents	91	55
Enthusiastic about the importance of the work	95	50
Capable planner and organizer	35	5
Knows life insurance	93	85
Friendly personality	93	63
"Fine fellow"	100	100

Fig. 10-2.--Relationship of agency performance to management practices shown by favorable comments of agents on their managers' behavior.

Mediocre agencies are supervised by managers who were more autocratic; the superior agencies are managed by those who are more democratic. There may be a point at which the manager may go too far in allowing his subordinates freedom. When agents were paid on a commission and then allowed absolute freedom in how they spent all of their time, they tended to be less successful than when their schedules were controlled more closely by the manager. This is roughly a comparison between the laissez faire and democratic leadership patterns.

Tactical problems.--Havron and Grath (1961) have observed the effectiveness of leadership in Army rifle squads conduct in tactical problems and Air Force airplane crews

during survival training. In all cases, the ability of the groups to perform was affected by the ability and training of the leader, the ability and training of the group members, the type of mission to which they were assigned, and the total environmental situation (terrain, vegetation, visibility, tactical conditions, and "enemy" action). Job knowledge of the leader appeared to be the most crucial single predictor of total squad performance. Intelligence was also found to be highly important. There were exceptions, however. The one leader with the highest performing rifle squad, had relatively low intelligence and low job knowledge. The significant factor in this case was the extra effort exerted by the squad members. This is an additional example to indicate that although certain characteristics tend to be most effective, the total situation must be analyzed to fully understand the results. In ambiguous situations, for most squads, the leader who gave some order, no matter how inappropriate, derived more confidence from his men and was the leader who tended to be more effective.

In some groups, all of the members were given special training concerning the importance of leadership and the responsibilities of the subordinates. In subsequent tactical problems, when the leaders and their assistants were made administrative "casualties," those squads with the

special training performed nearly as well as when their leaders were in command; squads without the special training did less well when their leaders were absent.

This report is especially significant because of the stereotype generally held about the autocratic Army sergeant.

Railroad repair crews.—Katz, Maccoby, Gurin, and Flour (1951) have studied the effects of leadership among railroad repair crews. It might be seen as more logical for salesmen in an insurance agency to be allowed a certain amount of freedom of activity to obtain prospects and must be permitted to sell in the manner each agent finds the most effective for him. It may be more difficult to visualize how a repair crew can be allowed much freedom while working in teams with limited time to do a given job in a specified manner. One measure of high and low producing repair crews is presented in Figure 10-3.

	<u>Punitive (critical)</u> %	<u>Nonpunitive</u> %
High producing foremen	40	60
Low producing foremen	57	43

Fig. 10-3.—Foremen's reaction to a poor job as reported by their men.

The leader who is highly critical of his men tends to supervise a group with low performance. The more effective leader tends to be one who utilizes the occurrence of

an error as an opportunity to train his men, not to criticize them. Although it is possible the pattern of leadership is important to group performance, it appears not to be the only variable. This leads to a question whether the employee oriented manager develops a more effective work group or if the manager who has a more effective work group can afford to be more considerate of his group because the pressure is not so great. In the case of the railroad repair gangs, it was found the leaders - autocratic and democratic alike - tended to behave in their characteristic patterns no matter how effective or ineffective their groups. When supervisors were transferred from one group to another, the high producing manager - the democratic manager - brought up the performance of the low producing units and the low producing manager - the autocratic manager - dropped the performance of the high producing units. Interestingly, the low producing units improved more than the high producing units decreased. The same conclusion was reached by Feldman in an earlier study (1937).

Telephone installation and maintenance.-Further evidence is provided by Jackson (1953) in a study of 9 men installation and repair crews of a telephone company. When supervisors were moved between groups, high producing supervisors were found to be effective with all groups. However, Jackson introduces the qualification that the leader is

effective in all groups as long as he holds the same frame of reference as the other group members. Worthy (1950) reporting on extensive studies of management in a large retail chain, comments that "we have found that certain kinds of difficulties typically follow changes in key management staff. We can usually predict not only what difficulties are likely to occur but the exact sequence in which they are likely to appear."

Clerical workers.-Some results concerning the effect of leadership have been reported in a study by Morse and Reimer (1956) concerning an office. Five hundred clerical workers in four similar organizational groups were used. The study lasted for a year. Two divisions had the decision making functions performed at a higher level in the organization and close supervision was increased. Such an approach, called "hierarchically controlled" in the study is referred to as "centralization" in management literature and is similar to the concept of autocratic leadership. The two other divisions had decision making moved down to lower levels in the organization, more general supervision was introduced, and the managers in these two divisions were trained in the techniques of group decision making. This approach, called "participative programs," is comparable to the term "decentralization" in the management literature. This tends to be more consistent with the concept of democratic leadership.

After time and motion studies were made, the hierarchically controlled groups were able to reduce the work force by 25 per cent. In addition, by improved "scientific" methods, production of one of the groups was increased 15 per cent and the production of the other group 20 per cent. In the participative program, production of both groups increased over 20 per cent, but without a decrease in the work force. The initial conclusion would seem to indicate the autocratic method was superior in economy and efficiency. However, in the autocratic group, loyalty decreased. There were more negative attitudes toward various aspects of the job, there was decreased interest, and a reduction in work involvement. As occurred in the boys' clubs, many office workers stopped work whenever the supervisor left the area. There was an increase in employee turnover creating disruptions and additional costs for recruiting and training of replacements. The employees expressed increased feelings of pressure, greater feelings of hostility toward both management and the high producing workers in the group, and feelings of decreased confidence in management. By contrast, the democratic groups enjoyed improved attitudes, a greater desire to work, and a feeling that management was "closer to them" and willing to "pull" for them. The authors conclude that, in the long run, the democratic method would be the most effective because of the long range

effects of motivation and loyalty. Likert (1961) has pointed out that "pressure-oriented, threatening supervisors can achieve impressive short run results, particularly when coupled with high technical competence." He has concluded that a stable work situation may not develop for 2 to 4 years after the introduction of a new leadership method. However, it has been suggested from previous studies cited that results may occur much more quickly. Zander (1950) has studied the office situation in a utility company and found aggressive leadership had decreased effective communication between the manager and his subordinates. By introducing "gripe sessions," communication was increased and led to greater understanding between managers and subordinates. This points again to the contribution of democratic leadership supported by the leader's technical ability.

Electrical workers.-Mann and Dent (1954) analyzed the leadership patterns of supervisors directing the operations of both white collar and blue collar workers in an electrical company. The results suggested that for both types of work groups, the highest production was obtained by supervisors who set general, not specific, goals for their subordinates, gave less specific directions, thus leaving the methods to the subordinates, and used more group participation in making decisions - they tended to be more democratic in their leadership behavior. The democratic leaders were able to achieve

higher worker involvement, greater interest in the work, and developed a greater amount of responsibility in the workers. It was also found that supervisors who most frequently held meetings with their subordinates were most often considered suitable for promotion by their superiors.

Aircraft manufacturing.-From study of an aircraft manufacturing plant (Comrey, High, and Wilson, 1955), it was concluded that the most effective supervisory pattern was one in which the supervisor kept his men informed, allowed them to express their opinions, was willing and able to help them with work problems, and was sympathetic to personal difficulties.

University setting.-In academic departments on a college campus (Hemphill, 1955) the highest rated administrative heads were those who displayed consideration as well as providing initiating structure. Halpin (1954) concludes that these two requirements - consideration and initiating structure - are necessary for both subordinate approval and performance, and approval of the superior.

General direction

Argyle, Gardner, and Cioffi (1957) have also found that high producing groups tend to be directed by managers who use general supervision, were more democratic, and use non-punitive measures.

By varying member participation in decision making with 45 experimental groups, Ziller (1957) has found that the groups are willing to take more risks in the performance of their tasks than the leader is willing to ask of them if he makes the decision himself without consulting the group. Worthy (1950) finds that the most successful motivation of employees comes about by employing "end results rather than only a system of controls, together with management's alertness to recognize and reward good results." This, in turn, "develops initiative and self reliance and generally far more powerful driving force than could ever be imposed from the top down." Kahn and Katz (1953) have concluded that favorable attitudes toward the organization, superior, and job increase with greater autonomy. What is more important to the organization is that productivity increases as well. In an example taken from the railroad, Hepner (1961) relates the example of construction workers who on their own initiative designed a repair shop for approximately 25 per cent of management's original estimate, and completed the design in a matter of months when management expected the study and design to take up to 3 years.

Adaptive leadership

"Every managerial decision has behavioral consequences. Successful management depends - not alone, but

significantly - upon the ability to predict and control human behavior" (McGregor, 1960, p. 4); "We can improve our ability to control only if we recognize that control consists in selective adaptation to human nature rather than in attempting to make human nature conform to our wishes" (McGregor, p. 1). The behavior of the leader in his day-to-day relations with his subordinates can be as varied as any act between two persons. As has been indicated for management generally, there is "as yet no science of leadership" (Petrullo and Bass, 1961); leadership is a function of the situation.

Duties of managers

Roby (1961) has generalized from his studies that "the ability of a leader to fill any breach in the executive process may be more significant than the particular function he performs routinely." Brooks (1955) has cautioned that there may be a limit to a universality of leadership behavior patterns. In a study of 96 executives and supervisors in production, sales, finance, and industrial relations, using a list of 150 supervisory duties, it was found that the approaches taken by successful managers depended on the level of the manager in the organization and the duties assigned to him. The higher ranked executives spent most of their time in selection and coordination of work as well as "pushing" for new ways of doing the work.

In addition, they expressed appreciation for good work performed by their subordinates. They encouraged the starting of new activities. The more successful executives were most likely to let their subordinates do the work the way the subordinates thought best. These top management employees were active in community activities as well. Good top managers were more likely to plan out their work. They were also the ones who were most likely to develop understudies for their positions.

For lower ranked supervisors and department heads, there was the constant problem of meeting deadlines. These managers stressed quality work and emphasized the importance of competing with similar groups in the organization. They were more likely to decide the work of their subordinates in detail and were conscious of keeping their subordinates working to capacity. The report of this study does not go into detail, but it would appear the pressure and detail work of these members of lower management does not correlate with previous studies presented of the behavior patterns of successful managers.

Summary

This chapter has presented evidence which suggests the most effective form of leadership in terms that are compatible with both the philosophy of management advocated

and the needs of the organization for efficiency and economy. It has been found, however, that even though the most successful leadership is generally that called Democratic Leadership, there are variations in leader behavior called for in specific situations.

Most evidence presented to this point has been provided by those who advocate some form of group participation. The next chapter has two purposes: (1) to present discussions by those critical to Democratic Leadership, supported by examples of its unsuccessful use; and (2) to attempt to resolve the conflicting results between the advocates and critics of Democratic Leadership.

CHAPTER XI

LEADERSHIP: CRITICISM AND INTERPRETATION

Limitations to Applying Democratic Leadership

Problems of introducing democratic leadership

The leader.—Contrasted to those characteristics and behavior patterns important to the successful leader, McMurry (1949) has presented some of those characteristics found which cause most labor-management problems. The following list is based on tests of both managers and union leaders. Characteristics of ineffective leaders were:

1. Overcompensation for weaknesses and signs of passivity and dependence.
2. Constitutionally aggressive and hostile.
3. A tendency to be criminally psychopathic.
4. Senility brought on by aging, alcohol, or arteriosclerosis.

Roy (1958) suggests that many managers are not able to delegate because they feel subordinates are not experienced or talented enough to be trusted, are fearful of subordinate error, and dread consequences of "touchy" decisions. Roy believes these attitudes are the result of the managers' psychological needs: a need for a sense of importance, a

need to have a "grip on the organization," a need to have subordinates depend on them, a need to raise and maintain their own status, and a need to compensate for their own feelings of inferiority. The "authoritarian personality" is not receptive to democratic leadership; indeed it may be difficult or impossible for such an individual to apply the concepts of democratic leadership without a change in personality. This conflict has been recognized by a number of authors. For example, Fox (1963) has concluded that the authoritarian has low security; Fromm (1941) finds the authoritarian leader obtains strength through controlling others, that his actions are guided by his inability to stand alone, and that he lacks both the ability to fully accept either himself or others; Uris (1953) has concluded that the authoritarian dislikes weakness in any form and views leadership that is not authoritarian as being weak, therefore, undesirable. For these reasons, it becomes apparent that the authoritarian would both reject attempting democratic leadership and would find it incompatible to his needs if he did attempt it.

The superior.-There is a conflict for the supervisor detected in the study of Mann and Dent (1954) previously discussed, which points out the supervisor as the "man in the middle." While the workers placed more emphasis on their supervisor's "pulling" for them, the supervisor's

own superior is more concerned with the organization than with the employees. This was further pointed out in Comrey, High, and Wilson (1955) in a study of aircraft workers. Although the most effective supervisors in terms of productive output were those who placed greatest emphasis on "human relations" concepts, their own superiors were constantly putting pressure on them to direct more attention to task goals. This occurred even though managers who concentrated almost exclusively on task goals proved to be the least effective.

Argyris (1953) surveyed senior managers on what they believed to be desirable characteristics of successful managers. The results do not correlate closely with requirements of the successful leader as indicated by most of the studies reported here, and do not meet the requirements of what the employees themselves desire in a manager. The manager is thus faced with a different set of values from his senior managers than from his subordinates. This makes it more difficult for him to know how best to satisfy his superior while, at the same time, motivating his subordinates; also, he is faced with the problem of having a set of expectations placed on him by his superiors that may not be the most effective for him in performing his supervisory duties.

The subordinates.--Even for those interested in introducing the democratic form of leadership, there are cautions for its implementation. White and Lippitt (1960) have warned that when management relinquishes tight controls and moves toward participative management, the initial response of the group members may be one of apathy or open hostility. The sudden introduction of participative management in European industries has proven unsuccessful because the workers are confused initially with the change from the previously authoritarian leadership (Goode, 1962). The same resistance was found by Blau (1955) in a study of leadership change in a federal agency.

Criticisms of democratic leadership

Pelz (1952) has concluded, in contrast to most studies reported thus far, that there is no statistically significant relationship between supervisory behavior and the reaction of the subordinates.

Cleven (1956) in work in the steel industry and Fiedler (1955, 1960) for Air Force combat crews have even concluded that the most effective leaders may not be the most accepting, approachable, supportive, or considerate of their subordinates. Drucker (1954, p. 310), who favors individual growth and even encourages that junior managers be included in decisions which affect them, does not believe that non-supervisory employees should have such opportunities;

they neither have responsibility for their decisions nor do they have authority to carry out their decisions even if they chose to do so.

At least two writers have stated that democratic leadership is not only difficult to introduce, but is not generally practical to apply. Jennings (1959) has argued that "by and large the typical executive does not have the psychological capacity to integrate appreciably with the democratic urge of the primary work group process." He points out that the typical manager is not only hostile to authority himself, but demands strict obedience from his own subordinates. He speaks of the "authoritarian personality syndrome" which seeks power, anti-ambiguous situations, and conformity. McMurtry (1959) believes that democratic leadership is not even a valid leadership technique, but merely a crutch for the insecure manager. McMurtry (1958) has been quoted in a number of sources when he states that "today, human nature being what it is, democratic management is practical in only a minority of companies." He sees the following as reasons for democratic management being impractical:

1. Group decisions increase the need for individual dependence on the group.
2. Some members fear to oppose the group, and, therefore will not express their true feelings.
3. Some fear to oppose the leader.
4. Certain "brilliant, nonconformists" will not be accepted by the other members of the group.

He suggests "benevolent autocracy" as an alternative approach to democratic leadership. This means, generally, structuring the organization around certain "natural leaders" in such a way that the inherently autocratic leader is forced to encourage his subordinates to participate in decision making. He further states the workers "do not really want to improve themselves if this requires effort. They do not want responsibility. They simply want a safe, secure job and someone to tell them what to do."

In a more recent article, McMurry expands on this point. He believes that even though some authors in the field conclude workers, often trapped by their economic needs, are forced against their inner will to submit to a manager's demands resulting in less than total worker effort, he asks if perhaps "the exact opposite might be true; that these so-called victims might relish their bondage....[Perhaps] the rigid structure in which they find themselves is not fettering, but reassuring. It is even conceivable that rank and file employees deliberately seek regulated jobs because these positions are more comfortable and less demanding than jobs requiring initiative, creativity, and decision making" (McMurry, 1965). His list of employee needs, based on studies of "more than 10,000 employees over the years," is similar to other lists of employee needs already presented - it is McMurry's con-

clusions which are unique. In order of significance to the worker, he finds these needs to be:

1. Security and a predictable future: Protection against unemployment, illness, old age, and similar occurrences.
2. Income sufficient to maintain or slightly improve the standard of living to which the worker is accustomed.
3. Acceptance by his peers: He conforms to group norms and values, which is why the rate buster in union circles is usually an outcast.
4. Personal recognition and status to impress his peers: If it does not come through promotion, he may seek it by becoming a union officer or the best bowler in the league.
5. Enough personal autonomy to convince himself and his peers that he is "a man, not a mouse."
6. Enough leisure time and income to permit indulgences in whatever pleasures appeal strongly, "be they bowling or blondes."

"In theory, there should be a seventh point. He should seek self actualization, the realization of his individual potential, the liberation of his creative talents, and the fullest possible use of his abilities and aptitudes. Unfortunately, this rarely evidences itself."

McMurry then describes what the management desires of the employee:

1. Conform to company practices, procedures, and policies.
2. Display enough industry, initiative, and capacity for follow-through that he will not require excessive supervision to ensure he will complete his task.

3. Perform sufficiently well so that his work meets company requirements.
4. Be loyal to his associates, his superiors, and his employer.
5. Exercise, where needed, such supervisory and management skills as his duties require, including occasional decisions involving risk.

Combining the needs of the employee and the needs of management for the employee's performance, McMurry finds "many areas of consonance" - what the employee wants from the organization and what the manager wants from the employee mesh rather closely.

1. Both are concerned, at least to some degree, with the stability, continuity, and economic health of the enterprise.
2. Most companies, often with pressures from unions, have satisfied the employees' needs for job security (layoffs by strict seniority), predictability (promotion by seniority), and protection against illness, old age, and unemployment (through insurance).
3. The employee can be recognized and rewarded directly for his creative contributions to the company through plan awards and similar arrangements suggested.
4. Many companies have compensation plans that reward the employee in direct proportion to his productivity.

McMurry sees those who advocate the human relations or behavioral science approaches or the application of democratic leadership as members of the "welfare school." He concludes this employee centered approach will not work because few workers want to work, few have imagination and creativity, few can be coerced and led, and few see a need

for self actualization. "It has been demonstrated over and over again that the typical wage earner, far from being frustrated and unhappy in a highly routinized and structured work environment, is in fact most content in his milieu. He is free from responsibility of any sort, from ambiguity of any kind. He is told what to do, how to do it and where to do it....[This is appealing to the worker because] nearly everyone, from early infancy, has been conditioned to live in a well-defined, almost all-inclusive structure or cocoon. From toilet training on...amplified and reinforced in school, in church, or on the playing field, in the armed forces and in nearly every beginning job....It takes great courage to deviate from 'the book'....The price of non-conformity on the job is hostility...[while] going by the book is supportive. It completely relieves the individual of responsibility....The man of courage (who is often also a nonconformist) is the one who finds the role of organization man sterile and restrictive. He often leaves to become self-employed. It is he, rather than the rank-and-file employee, who approximates the man in Theory Y [McGregor's (1960) term for participative, democratic leadership]."

McMurry has also found that "when a representative cross section of the kinds of employees that truly comprise the rank and file are asked to describe their ideal manager and his philosophy of supervision, they picture a powerful

but kindly and indulgent, father figure. He is seen as (1) powerful and decisive. Weakness in a leader is frightening to him. (2) A person of prestige and status. No one wants to report to a person who seems unimportant. (3) A strict disciplinarian who runs a taut ship. He is fair, but firm; no one has any unusual privileges or favors. (4) One who is interested in, and supportive of, the little man.¹ (5) One who is slightly corruptible - who is willing to bend the rules, if necessary, to give the little man² a break."

Through all of this analysis, McMurphy arrives at a conclusion which is opposed to most authors in the literature. "Thus the basic conflict between management and the workers is not, as some philosophers state, because of over-regimentation. The conflict arises because, all too often, management provides too little structure, guidance and support. It requires too much of the individual in terms of his ability to: (a) work out his own course of action (structure his own activities); (b) function in an ambiguous environment; (c) initiate, innovate and deviate from established practices, precedents and policies; and (d) make decisions which, if wrong, could threaten his personal job security....In view of this, management's goal must be not to relax regimentation, structure and close supervision....

¹Emphasis added.

²Emphasis added.

If the typical wage earners (including those up to the level of vice presidents³) are to feel genuinely secure and relaxed, they must be given more, not less, strong supervision." There are "men and women who will respond best if supervised on the basis of the assumptions of Theory Y... [but there is] a strong reason to believe they constitute a minority....For the majority, a perhaps modified version of Theory X [McGregor's (1960) term for autocratic leadership] - strong direction tempered with understanding - appears to have greater promise."

Resolving the Conflict Concerning Democratic Leadership

Leadership behavior is learned

These opinions are quite opposed to those presented in the majority of studies, and are opposed to work done by such people as Likert and his associates (1961) and Maier (1959, 1955) who have placed much confidence in their abilities to develop managers to become more effective through the use of democratic leadership methods. Their approaches are believed to be effective partly through training in the "skill" of leadership and partly as a result of attitude changes brought about by the experiences in the training sessions.

³Emphasis added.

Part of the difference in conclusions may be related to just those factors that have been already identified - the individual, the group, the task, the environment, and the leader.

The leader

The leader himself must learn to function in a participative environment. Knickerbocker (1960) finds that after a manager has received training in participative leadership, he may experience disappointments. He may not only be disliked by his subordinates, but he may dislike being a manager. "The frame of reference within which he [the leader] must lead had been established over a considerable period and is fixed in the attitudes of his subordinates as well as his superiors." Telling a manager how he must lead - whether it be autocratic or democratic - can be confining and awkward to the manager.

Managers must distinguish between social leadership and task leadership. The good task leader, as Fiedler (1959) sees him, must obtain some social distance, but, at the same time, he needs sociometric channels of acceptance of his influence. The manager's problem is to decide how much social and task leadership is needed at any given point in time.

The leader must know how to balance job orientation with employee orientation (Martin, Darley, and Gross, 1952).

Too much emphasis on maintenance of a friendly atmosphere can actually decrease group efficiency. High morale is a means to an end - increased economy and efficiency - not an end in itself. This conclusion is accepted by Cattell (1951).

Following is an attempt to point more specifically to those specific variables that may lead to a better understanding of the problem. Through understanding should come improved implementation of the correct leadership practices. In the study of laundry workers, those employees who were high in authoritarianism and low in independence were less affected by the opportunity to participate in decision making, but those who were low in authoritarianism and felt a need for independence reacted favorably to participation (Vroom, 1959).

The situation

Goode and Fowler (1949) reported on an industrial situation in which management demanded high level performance and obtained it through threats of discharge. Morale was low, but production high. The critical factor in this case, as concluded by the authors, was that employment in other firms was difficult to obtain. The workers had to accept their situation or be fired. This does not answer the question of whether production might have been even higher with a more democratic form of leadership.

A number of examples are found in which group members will accept an autocratic leader in a crisis or emergency situation. Bass (1960), for example, points out that the group expects speed and decisive action in an emergency when there is no time for a group discussion. In a study of Army combat units (Stouffer, Suchman, Deviney, Star, and Williams, 1949), it was found that although the group will accept an authoritarian leader in combat, they will not accept him in the rear areas where there is no apparent emergency.

Hamblin (1958), in an experimental situation, observed that not only do members accept autocratic leaders in crisis situations, but the leaders who tend to behave in an autocratic manner have more influence in a crisis. The group may actually reject the original democratic leader in an emergency and replace him with another who is willing to take charge.

Perceptions of the situation

Part of the problem of selecting the correct leadership behavior patterns may come from a basic misunderstanding and misinterpretation between the leader and his followers. On even more basic grounds, Bennis (1959) has attacked McMurtry's "benevolent autocracy" directly as being poorly conceived. Mann (1950) surveyed a group of supervisors and

their subordinates to find how each group perceived some of the relationships between the leader and his group. Both supervisors and their subordinates were asked how much recognition for good work done by the employees was recognized by the supervisor. The results are presented in Figure 11-1. It is apparent that the manager assumes he is giving more recognition to his employees than they perceive they are receiving.

Form of Recognition	Very often as seen by the supervisor	Very often as seen by the employees
	%	%
Give privileges	52	14
Give responsibility	48	10
Give pat on the back	82	13
Give sincere and thoughtful praise	80	14
Train for better jobs	64	9
Give more interesting work	51	4

Fig. 11-1.--Recognition given for good work as seen by the supervisor and the employees.

In an experimental setting, with groups composed of business and government employees (Crockett, 1955), it was found that when the appointed leader was perceived by the group as being inadequate in goal setting, information seeking, development seeking, solution proposing, and problem proposing, new leaders came forward who did perform these required tasks and were accepted by the other group members. The leader appointed by the experimenters was most likely to be deposed in those groups where there were

cliques formed or where there was low common motivation between members. From this it appears, among other things, that the group rather accurately recognizes the needs of the group as well as the source for meeting the needs. Ziller (1955) reports on a series of studies using 130 Air Force members. Group leaders appointed by the experimenters, when exposed to a risk situation, were less likely to be concerned with the opinions of the other group members - were more authoritarian - than leaders who were selected by the group. This is significant for the formal organization, for in most cases top management, not the subordinates, selects the manager.

Jacobson (1951) in a survey of 400 automobile workers and their supervisors found that 70 per cent of the workers felt their foremen should consult with them more and 45 per cent said they were hardly ever consulted by the foremen. On the other hand, only 25 per cent of the foremen admitted that they did not consult with their subordinates. It is not as significant how much the subordinates were consulted or how much they "should" have been consulted, what is significant is that the attitudes of the workers was directly related to the amount of consultation they believed was being done.

In a study of the attitudes of top and middle management and white and blue collar workers in an automobile

equipment manufacturing firm of 300 employees, Triandis (1959) obtained information as to what employees considered the most important characteristics of a successful manager. A marked difference was found between the attitudes of management and workers, and between male and female employees. All groups felt it was desirable for a manager to be friendly, intelligent, skilled, experienced, and healthy. However, while management put greatest emphasis on being the "great man," male workers felt it was more important for the manager to know his job, be dependable, and have experience, while the women employees placed greatest emphasis on honesty, politeness, and dependability. The conclusion was that if management is to be effective in its communication and in motivating employees, it must learn to use the workers dimensions and not managements'.

The task

In generalizing on a study of delivery truck drivers and "positioners" (those who prepared the packages for delivery), Vroom and Mann (1960) have concluded that group members are more likely to react favorably to an equalitarian - democratic - leader when the groups are small, when there is a great deal of interacting among the members, and when there is a great deal of interacting with the leader. The democratic leader is also more desired when the task calls for a great deal of interdependency of the members.

On the other hand, reaction is more favorable to the authoritarian - autocratic - leader when the groups are large, when there is restricted opportunity for interaction among the workers and with their leader, when the workers are restricted as to methods used, and when the work of each member tends to be independent of the work of the other members. The response appears to be partly a function of the situation. The truck drivers were more independent, having contact with their superior only once or twice a day. The positioners, however, worked directly in the plant and were exposed to constant contact with each other and with their superior. The drivers preferred the authoritarian leader who gave them short, structured directions while the positioners preferred the equalitarian leader who was more sensitive to their needs.

Members response to change

It is certainly true that workers do not always accept the opportunity to participate in decision making. Maier, who is one of the strongest advocates of employee participation in decision making, in a study of 5 companies (Maier, Hoovan, Hoffman, and Read, 1961) found that while managers believed that subordinates were responsible for planning and organizing, as well as problem solving, the workers themselves felt they were only to execute the decisions and plans made by their superiors. This was explained

by a breakdown in communication between managers and workers. The workers were not aware of what was expected of them. Richard (1955) has concluded that workers and managers alike may resist employee centered leadership if the existing human relations climate is not conducive to it. Richard found much top management resistance to worker participation and branded it as a "wild, crazy scheme." When first introduced, the new method was not liked. The workers felt the leader was creating confusion and he was thought of as being weak. However, in a follow-up study after 2 years, the net effect was that foremen were very satisfied and the decisions made by the participating workers were thought to be equal to or better than those of top management in effectiveness. Weschler, Kahane, and Tannenbaum (1952) have studied two departments made up of physicists, engineers, scientists, and various clerical and other supporting personnel. One group was managed by a "restrictive" leader who allowed only low group participation. The other group was headed by a "permissive" leader. Although the group under the permissive leader had greater morale, the low participation group had greater productivity. Part of this may be explained by the results reported by Baumgartel (1956) from another study concerned with scientists in a laboratory. The attitudes of the scientists toward their superior were influenced by how closely the manager conformed to the role

the subordinates expected and desired him to play. French and his associates in a European shoe factory, found that worker participation was influenced by whether they felt it was "legitimate" for them to participate. However, once accustomed to participation, those groups which had "moderate participation" reached their production goals more quickly than those groups without participation. Also, "if the decision is of no importance to him [the worker], and if he does not want to influence it, his participation will make no difference [in his performance], for it will not provide a means to satisfy his needs" (French, Israel, and Aas, 1960).

McGrudy and Eber (1953), in an experimental study of groups performing problem-solving tasks, concluded that "with respect to work reported here, it must be concluded that if any difference among four types of groups has been demonstrated it is not such as to favor democratic over authoritarian organization...." However, they added that placing a leader of one type of leadership behavior in a group accustomed to another type - no matter what type - caused a disturbance in performance of the groups.

Applying Democratic Leadership

The bulk of the research findings in the literature agree that Democratic Leadership is superior to both Autocratic Leadership or Laissez Faire Leadership, but, as has

been reported through numerous examples, Democratic Leadership is the most superior method only to the extent that it is appropriately applied. The following are the more significant summary conclusions on management as related to the manner in which to introduce and conduct Democratic Leadership.

As Likert (1956) has concluded, "employee centered [managers]...get the best results when they place primary emphasis on the human problems of their workers....Close supervision tends to be associated with lower productivity." Likert believes that the desirable goal is to "develop a management...which will make use of the concepts of scientific management while fully utilizing in a positive manner the manager's forces which influence human behavior in work situation."

Gordon (1955) believes that group centered leadership is at its maximum effectiveness only when the group members:

1. Feel free from dependence on the leader.
2. Are permitted to determine their own goals and skills.
3. Define and institute changes for themselves.
4. Are not led by any one person all the time.
5. Are free to dispose their leader when they desire.

It is to be realized that the above qualifications may not be totally acceptable in a formal organization with certain specified objectives and organizational structure. However, within the limitations of the task and the organization, the list of Gordon can serve as a guide in directing the manager's activities and relationships with his subordinates. Democratic leadership permits the group members greater opportunity for self actualization, increases the subordinates' control over the work environment, encourages knowing and feeling attitudes, decreases dependence on the leader, and increases the subordinates' time perspective (Laurence and Smith, 1955).

It is to be remembered that this approach is not Laissez Faire although it could easily develop into that by misinterpretation of the concepts by the leader himself. Likert and Haynes (1957), reporting on a seminar on leadership attended by business executives and leadership "authorities," list requirements for successful group participation agreed to by the seminar participants:

1. Before an effective group decision or action, the group must accept the necessity of reaching a decision or the taking of appropriate action. There is need also for group recognition and acceptance of the hard, objective realities which established the problem to be solved, and the limits that are placed on freedom of making the decision.
2. It is the responsibility of the group leader to see the requirements of the situation, and to make them clear to the group. The leader sets the objectives and the limiting conditions.

3. Discussion by the group is essential, but there must also be agreement, decision, and action.
4. For the decisions to lead to effective action or change, there must be an understanding of the goals, and the members must commit themselves to specific action.
5. Effectiveness depends on who is allowed to participate in the discussion. Participation and group decisions should ordinarily be throughout the organization and include all persons affected by the decision and all those whose understanding and help is needed.
6. Responsibility includes deciding responsibility for follow up, review, and appraisal of progress toward the agreed on goals.

Group pressure on the individual members is necessary because the leader acts through groups and because it is typically more effective to influence and motivate individuals in a group situation than to do it individually. Patchen (1962) has indicated elements which create pressure of the group on the individual member. The leader himself introduces pressure through his expressed and displayed expectations for high performance, by the recognition of all members that the leader, if necessary, can reward and punish, and by the leader's effective utilization of the power available to him. To be effective, a system of rewards and punishments must be related to standards that are understood by all. In a properly directed group, the individual feels a sense of independence, which, in turn, causes him to be more responsible for his own performance. Finally, the individual group members want to perform well for the group,

and the group is effective in its interaction to the extent there is group cohesiveness. This, at least in part, would satisfy the workers' needs as identified by McMurtry (1965), while retaining the advantages of democratic leadership.

McGregor (1960, p. 133) points out that the subordinates, because they are dependent on the manager to a large degree, are sensitive to a wide range of clues which influence their perceptions of success in reaching personal goals. McGregor believes that when the manager shows faith in his subordinates, the subordinates have greater faith in their manager.

The role of the manager as a group discussion leader can not be a game, but must be a true way of believing and acting: "To pretend to believe in free discussion and yet in practice, to try cautiously to keep it going in the 'right' direction is to commit a crime against the human spirit. Such pretense is far worse than open opposition to free speech. The latter can be recognized for what it is. But the former creates an atmosphere of tension and timidity, or of hearty and unconvincing good fellowship, that takes all the bite out of discussion and makes people turn from it in bored disgust" (Overstreet and Overstreet, 1941).

Maier views the leader in participative management as a discussion leader. He has provided rules for the guidance of such a leader. The discussion leader is

responsible for aiding the group in increasing its ability to solve problems. The following are provided as aids to the leader in problem solving discussions (Maier, 1962):

1. Success in problem solving requires effort be directed to overcoming surmountable obstacles. The correct conclusions must not be expected or forced too early. Attempts to solve problems is not aimed at placing blame on particular individuals.
2. In problem solving, all available facts should be used even when they are inadequate.
3. The starting point of a problem is the richest in solution possibilities. The group must see the problem solution as being a route from the start to the goal. The problem should be stated in such a way that a possible solution is not suggested. The initial goal is to keep the groups attention on the problem at hand.
4. "Problem mindedness" should be increased while "solution mindedness" is delayed. By nature people progress too rapidly to a solution. A group member is not to be interrupted while he is talking.
5. Disagreement can lead either to hard feelings or to innovation, depending on the discussion leadership. Fear of leader or group disapproval leads to conformity. Original views are minority views until they are accepted. There are indications that the farther one is from the problem the better he is as a problem solver - he is still searching and innovating. Many people are hesitant to question the comments of others because they believe it may be seen as a criticism and do not want to risk hurting anyone's feelings. To this extent, the stereotype of the "good group member" will make him a poor problem solver.
6. The idea-getting process should be separated from the idea-evaluation process. The latter inhibits the former. The leader is responsible to encourage a variety of ideas to be accepted.
7. Choice situations should be turned into problem situations. When members begin to make choices they have stopped problem solving.

8. Problem situations should be turned into choice situations. Subsequent solutions are often superior because they require more searching.

9. Solutions suggested by leaders are improperly evaluated and tend either to be accepted or rejected. Leaders are often better if they have not had a chance to study the problem before the group sees it.

McGregor (1960, p. 49) agrees that effective leaders create conditions such that organizational members can achieve their own goals best by directing their efforts toward the success of the organization; the organization most effectively reaches its goals by meeting the needs and goals of its members.

In general, it has almost consistently been found that the manager who is employee centered has a group with higher morale and higher output than with other forms of leadership. Followers do not respond as effectively if they do not see a reason for making decisions or for acting on the decisions (Likert, 1961, p. 11). Good supervision is not sufficient in and of itself; workers also respond best to good working conditions, adequate compensation, and enjoyable work. Because of these additional factors, the leader's role becomes even more significant, for as the workers view their manager more favorably, they tend to view their working conditions, compensation and duties more favorably as well. Employees work better with the manager on a group basis, not on an individual basis (Likert, p. 38).

Managers with high producing groups are more likely to be seen by their subordinates as (Likert, p. 101):

1. Supportive, friendly, helpful; not hostile; kind but firm; not threatening; interested in the group members; just; attempting to serve the best interests of the job and the organization.
2. Shows confidence in members' integrity, ability, and motivations; is not suspicious or distrustful.
3. Has higher expectations in the performance of the subordinates.
4. Sees each subordinate is well trained and aids in their promotion.
5. Coaches, assists, and replaces misplaced workers.

Again, this appears to meet McMurry's (1965) criteria, and in a democratic setting. It is to be remembered that an organization and its people are subject to change. Group participation leads to more rapid and effective change, and adapts more readily to the change. "The desires of individuals grow and change as people interact with other people. Similarly, the objectives of organizations must change continuously to meet the requirements of changed technologies, changed conditions, and changes in needs and desires of those involved in the organization or served by it" (Likert, p. 116).

The ideally highly effective group, as seen by Likert (p. 166), has the following characteristics:

1. Skilled members as leaders and subordinates.
2. The group in existence long enough to develop well established and relaxed work relations.
3. Members attracted to and loyal to the group.
4. Confidence and trust by the members in each other.
5. Values and goals shaped by members who are satisfied with them.
6. Values and goals between interacting groups are in harmony.
7. Values that are most important to the group, are most likely to be accepted by the members.
8. Members motivated to the group values and goals.
9. Interaction, problem solving and decision making are made in a supportive atmosphere; differences of opinion can occur without member conflict.
10. The superior exerts the major influence in establishing the group tone and atmosphere.
11. Group members are eager to help each other.
12. Each member accepts willingly the goals and expectations of the group.
13. Members believe the group can accomplish the impossible.
14. There is mutual help between members.
15. The supportive atmosphere of the group encourages creativity.
16. The members know the value of constructive conformity.
17. Members are able to communicate fully and frankly.
18. There is a desire to receive communication from the other group members.
19. There is an attempt to influence others and a desire to be influenced by them.

20. There is an attempt to influence the leader.
21. The members attempt to influence each other for flexibility and adaptability.
22. Members feel secure in group decision making because the group goals and philosophy are clear.
23. The group must have an effective leader.

"At its best each system of organization requires personalities, skills, characteristic ways of interacting on the part of leaders and members which fit that particular system. Each system molds people to its own image" (Likert, p. 235).

In a rather comprehensive search of the literature, Harper (1963) has compiled a list of benefits to be derived to the organization through subordinate participation by the leader. These benefits include:

1. Improved morale.
2. Decreased resistance to change.
3. Improved motivation.
4. Improved understanding.
5. Improved quality of decisions.
6. Increased productivity.
7. Encouragement to higher standards of production.
8. As a safety valve for employees.
9. Development of long range values.

To be successful, however, the leader must be aware of certain considerations. Each of the following influences the effectiveness of group participation. The qualifications for effective participation are:

1. Employee expectation.
2. Task qualifications.
3. Influences of the atmosphere.
4. Leader's personal requirements.
5. Subordinates' requirements.
6. Relevancy of issues.
7. Status relationships.
8. Need for security by both the leader and followers.

To aid in better understanding of the apparent differences in conclusions about which leadership patterns are most effective in various types of situation, Golembiewski (1961) points out that "various studies [which] seem to contradict each other are simply accounts of leadership phenomena under different conditions. Studies based upon observation of similar conditions, on the other hand, have yielded a pattern of consistent results." In the end, a manager's success must be measured in terms of organizational effectiveness, and this is found correlated to (1) absence of intraorganizational strain and tension, and intergroup conflict; and (2) organizational flexibility that permits effective adaptation to internal and external change (Georgopoulos and Tannenbaum, 1957).

Summary

The major intent of the previous discussion has been to suggest the influence the leader has on group effectiveness. The examples are intended to be representative of those found in the literature. Examples have been taken from experimental situations, from business, and from the military. Emphasis has been on leadership patterns.

What has been suggested is that the leader who includes the members of his group in the discussion of problems which concern them may be the most effective leader. Certain reservations to this generalization have been found. However: "It is beginning to look as if a theory based on empirical findings is at last in the making....Its outlines can now be perceived" (Golembiewski, 1961). "Further development of the measures (of communication, types of interaction, and effect) will make it possible to state the exact leadership style required under different specified conditions" (Back, 1961).

The present chapter represents a major element in the challenge provided by this analysis. Considerable guidance has been obtained in identifying the most effective leadership behavior pattern, and it can be observed that it comes closest of the leadership patterns considered, to meeting the qualifications of the philosophy of management. More analysis on these points will be made at the conclusion of this section.

Having established some form of democratic leadership as being generally the most effective in a variety of situations, the task of the following chapter will be to discover if it can also be the most effective in the hospital.

CHAPTER XII

THE HOSPITAL

Introduction

Studies to this point have been selected to suggest a broad variety of personalities, groups, tasks, and leadership patterns. All reports thus far have been of organizations other than hospitals, but close examination of most will suggest an approximation to one or more departments or activities in the hospital. Nevertheless, it is of value to direct specific attention to studies related specifically to the health care setting.

This discussion is of considerable significance in that it suggests the tone and complexity of the environment in which the hospital manager must function. Admittedly, this is a limited analysis, but it contributes significantly in two ways. First, it suggests a number of implications of concern to the manager related to organization effectiveness. Second, the emphasis is on the people in the hospital which is the point of major concern as suggested both by the philosophy of management and the conclusions drawn through selection of a leadership pattern.

Hospital Departments

Following is a brief review of various departments and individuals obtained after study of a number of hospitals (Burling, Lentz, and Wilson, 1956). It is of value for the reader to relate this discussion to the composite organization chart in Chapter II.

Clerical department

The clerical worker is seen as being set apart from those in most major hospital departments by training and the use of symbols, words, and figures. Even though the clerical job itself can rarely be described as distinctly medical, the clerical worker tends to feel a part of the curative process. As a non-professional in the medical functions, the clerical worker appears to hold both a fascination and revulsion toward disease and injury. The lower level clerk is faced with both low pay and limited upward mobility.

Relations between office workers and others in the hospital were generally found to be "harmonious," explained, in part, because they are located throughout the hospital and are, therefore, difficult to identify as a group. In addition, because of training, the clerks are not, and are not seen by others as, competing with other groups. On the other hand, both physicians and nurses are "apt to consider

the clerical workers' insistence on meticulously following procedures as petty." This might at first be surprising in light of the exacting detail and record keeping developed in the medical and nursing professions. However, the "non-professional" functions are generally held in low regard by medical, nursing, and parimedical personnel.

Dietary department

Activities of the dietary department typically touch all individuals in the hospital - employees and patients. There is a close and significant relationship between meals and morale, therefore, the dietary department is highly vulnerable to criticism. Often such criticism is "unwarranted"; criticising the quality of meals becomes an outlet for the patient for all those things in the hospital with which he is dissatisfied. Further, the patient often lacks an appetite because of poor health, the fear of a new environment, and the change in diet from home life.

More than many non-medical or non-nursing personnel in the hospital, the dietary department has close contact with the physician because meals of a therapeutic nature are often prescribed. Relationships with the physician are often confining and frustrating to the dietitian; the cooks, who may possess much skill and a high level of occupational pride, tend, in turn, to feel the dietitian does not understand their problems and unnecessarily decreases their freedom.

Laboratory departments

Typically, the location of the laboratories and the specific duties keep laboratory technicians out of the mainstream of hospital activity. Contacts with other departments are mainly limited to those made by the laboratory supervisor. It is not surprising, therefore, to find that "there seems to be some latent professional jealousy between technicians and nurses." Most technicians in the hospitals were young women who saw their work as only a short term career. The work was seen by them as "satisfying but not intensely interesting." The work tends to be quiet, exacting, repetitive, and routine, with characteristically close supervision. Relationships within the department were close and informal.

Laundry and housekeeping departments

An interesting and meaningful contrast is found between laundry and housekeeping personnel. (Not all hospitals have their own laundry, but may contract out the work. Housekeeping workers may be employed by the hospital or the work may be contracted; but in either case, housekeeping duties must be performed on the hospital premises.)

In the hospitals studied, laundry workers had a lower rate of turnover than the housekeeping personnel. This is explained by relative job satisfactions. Both

groups tend to be composed of unskilled workers, mainly widows, housewives, and casual labor, and new employees tend to be assigned to either of the two departments on a rather chance basis. The significant difference in turnover was found to be in the social groupings and inter-relationships. Laundry workers tend to do their work in a single area, while housekeeping personnel move over a wider area of the hospital. Housekeepers have contact with higher status employees, serving to constantly remind them of their lower status. In addition, they must often work near the sick patient, which is considered by many to be unpleasant. Housekeeping managers are often perceived as spies because the majority of times they are seen by their subordinates is when they are checking on the work completed. Because of the nature of their work, housekeepers also tend to have less peer group social contact than occurs in the laundry.

Of the two employments, laundry work is considered to be cleaner, therefore, higher status work. Laundry personnel also tend to be a more homogeneous group; because they work together, they tend to form common norms and interests, and they are able to "freeze out" the "undesirables."

The authors suggest that much of the unattractiveness of housekeeping could be reduced if there were more opportunities for the workers to interact with one another, as for group meetings and meals.

Other personnel and departments

All hospitals included in the study had a "pet" - an "oldtimer" who performed "odd jobs," and was often more of a fixture than an asset to the hospital.

Orderlies tended to be either quite young or old, and might, in practice, hold a variety of jobs. Some were transients, contributing to a high turnover rate. Younger orderlies were striving and ambitious, but disappointed as well because of the feeling that they were "not going anywhere." Generally, orderlies were described as "lonely men." Respect for orderlies by the rest of the hospital personnel increased in all hospitals where an effort was made to be more particular in selection requirements, and when a standard of appearance for them was prescribed and maintained.

Various other groups, as ambulance drivers, were characterized as "lone wolves." The best situation related to morale, performance, and stable employment was believed to occur when these groups were brought together for interpersonal contact.

Some craft workers, such as carpenters, originally sought employment in the hospital because they were too old or ill to work at their professions under the more demanding pace of the construction industry. Typically, these workers displayed the pride of the craftsman in performing their duties in the hospital.

Nursing department

Nurses aides.-Some of the nurses aides were "over eager" and some "under eager." Younger aides benefited most from training. Generally, this group had the "short range goals of the underprivileged." There were cases of jurisdictional disputes between the registered nurses, practical nurses, and nurses aides, which occurred when the aide attempted to perform duties of the practical nurse or registered nurse. The aides appeared to look up to, and imitate, the registered nurse, as well as seek them out for companionship. Whenever they were rejected by the nurse, they turned to the patient for social contact.

Staff nurses.-Argyris (1956) has looked at the content of the "organizational process" of the nursing floor in a cancer hospital. Nurses were required to satisfy the demands of "multi-objectives" which necessitated "multi-workflows." Compared to non-medical organizations, workflows were of an "unusually high number"; 20 to 30 workflows were performed on any given floor, for a total of over 100 in the entire nursing division. The work flow processes vary in complexity, requiring nurses to perform all of some tasks and parts of others. Although, over 20 per cent of the nurses reported pressure, boredom, and feelings of futility, those nurses who performed 8 to 15 part-tasks reported less boredom and a greater sense of accomplishment.

Performing these tasks was most compatible to their personalities and their professional expectancies of what they should be doing.

"Predispositions" - that is, the expressed interests - of non-supervisory nurses, as found by Argyris, in order of importance, are (p. 42):

1. Compatible.
2. Self controlled.
3. Indispensable.
4. Variety seeking.
5. Passive.
6. Expert; reconciled.
7. Self responsible.
8. High wage conscious.
9. Directive.
10. Prestige minded.
11. Home minded.
12. Organizationally upward mobile.
13. Problem solving.
14. Industrious.
15. Sameness.
16. Socially upward mobile.
17. Mechanically minded; humorous; challenge accepting; self motivating.

Sixty-one per cent of the nurses in the Argyris study were in constant tension for fear they would make some error that would harm the patient (p. 59).

Nurses were limited in their performance to the extent that certain workflows were not completely controlled by them. The workflow, because it is of a medical nature and deals with the patients, has a distinctly human quality. Therefore, the situation is emotional and provides the nurse with the opportunity for self expression consistent with their predispositions. The workflow process - nursing care - also provides the nurse with many unhappy experiences. The more serious the patient illness, the more closely the nurse is tied to the patient, and the less chance there is for nurses to interact with one another; in the hospital studied, 55 per cent of the nurses said they had no close friends among their fellow nurses. Nurses derive status from contact with physicians, but the amount of contact varies with numerous factors, as the type and seriousness of the patients' illnesses and the physicians' schedules.

Not surprising, perhaps, is that the most "potent" identifications for hospital personnel are professional rather than organizational. For the nurse, the strongest organizational identifications relate to the reputation of the hospital rather than to the hospital as an institution (p. 62).

Nurses tend to dislike working with non-professional employees. This does not mean they are prejudiced against them, but they do speak of the non-professional as "lower," "different," "not as nice," "not properly trained," and look at many as being "loafers." Part of the nurses' duties involve directing activities of many of these non-professionals, but most nurses mainly enjoy their contacts with patients; they least desire their supervisory duties (Argyris, p. 73).

Individuals, Groups, and Tasks

The three classifications - individuals, groups, and tasks - have been combined into one discussion because, typically, in the hospital, studies of personality characteristics and group behavior patterns are reported in terms of groups of specific membership duties or tasks. The following discussion is a logical outgrowth of the preceding brief view of the hospital departments.

Argyris makes the point that it is difficult, if not impossible, to obtain a completely true picture of the hospital without studying the total organization. In questioning members of various groups in the hospital about the problems they experienced on the job, most indicated they see their problems as emanating outside their area of responsibility or influence; they do not see themselves as the possible cause of their own problems (Argyris, 1956, p. 9).

Employee motivation

As has been quoted earlier, "unlike many organizations, the hospital is able to make the role it performs in the larger community psychologically meaningful to its members....Motivating organization members toward the objectives of the organization is much less of a problem for the hospital in comparison to other large scale organizations. The goals of individual members and the objectives of the organization are considerably more congruent in the hospital" (Georgopoulos and Mann, 1962, p. 5). There is much to be said for the sincerity of the professional and the sense of urgency and responsibility of all those in the hospital - especially those with close contact with the patient.

Turnover

However, with relatively high turnover in many cases, one might be led to wonder just how congruent these goals really are in all cases. In the study of one metropolitan hospital, turnover was 71 per cent for one year (USPHS, 1964). (This can be contrasted with the average annual turnover in business of approximately 30 per cent.) This turnover rate occurred even though 60 per cent of the employees indicated the hospital was an "excellent" or "very good" place to work. It was believed, for the hospital surveyed, two-thirds of the turnover was avoidable. Departments varied

significantly in the turnover rate. Those individuals or departments having the highest rates were: secretaries, 83 per cent; X-Ray technicians, 76 per cent; laboratory technicians, 68 per cent; nurses, 66 per cent; clerks, 64 per cent; psychiatric technicians, 60 per cent; telephone operators, 59 per cent; porters, 51 per cent; nurses aides, 47 per cent; pantry workers, 40 per cent; elevator operators, 40 per cent; ward clerks, 39 per cent, and maids, 31 per cent. In agreement with the Public Health Service study, Georgopoulos and Mann find that absenteeism rates "appear to be largely determined by group or organizational forces rather than by characteristics of individual persons" (p. 115). Apparently, much turnover can be reduced. In the Public Health Service study, turnover was cut in half after a study of job requirements and worker needs was made and corrective action taken.

Regardless of the average turnover, however, there is a hard core who remain with the hospital over time. Georgopoulos and Mann (1962, p. 104) point out that 60 per cent of the administrators and department heads, 61 per cent of the supervisory nurses, 40 per cent of the practical nurses, 20 per cent of the aides and orderlies, 30 per cent of the registered nurses, and 38 per cent of the laboratory and X-Ray technicians, had been employed by the same hospital for at least five years.

Formal and informal organization interrelationships

The informal organization within the formal setting.-

Wilson has studied the relationship between formal and informal groups within the hospital. "By their very nature hospital jobs demand a close-knit articulation of many separate skills, a concert of organized human relationships. Group activity is the essential pattern for bringing specialized resources to bear on hospital tasks - tasks as varied as general policy determination, patient care, food preparation, or building maintenance."

Realistically, "at all times any large system of action involves both the planned network of rights and duties...and the more spontaneous but equally effective web of interplay which arises as a natural, informal accompaniment of the fact that several people share a common work setting and process....[They are] very much intertwined and dependent on one another...."

A hospital "has a unique organizational tone which sets its atmosphere distinctly apart from other hospitals. The sources of this tone, this vague but significant emanation from organization life, is the primary group. It is in the fact to face texture of primary group action that the intangibles of morale, clan, spirit, and characteristic attitude toward the job and patient are needed...they train their members by work and gesture, deliberately and uncon-

sciously, to take a particular stance in occupational life....This is the first and chief function of the primary group, and a function which can scarcely be accomplished by any other agency: to train the individual in job and spirit, transmitting both skills and traditions, impressing upon him the unique nature of his department and his hospital" (Wilson, 1958).

Causes and consequences of informal organization.-

Preiss (1959) has studied the informal organization within the formal hospital setting. "Frequently, an informal organization signifies a social reaction to some demand upon, and inadequacy in, the formal system itself."

Preiss defines and identifies informal groups in the hospital. They:

1. Lack legitimacy and recognition in the formal organization.
2. Are small and exist largely via face-to-face relationships.
3. Have a structure and a system of norms and values which regulate internal behavior.
4. Have members who experience a sense of belonging or a group identification.
5. Often have antecedents and relationships which reflect reference groups outside the formal organization.

The relevant characteristics of the formal organization that may lead to the development of informal organizations are (Preiss, 1959):

1. Defects in the formal structure itself.
 - a. Excessive size: involves high time loss in carrying out activities.
 - b. Poor or inadequate instrumental resources: reduces effectiveness in accomplishing tasks and goals.
 - c. Gaps in the chain of command: disrupts communication.
2. Status and role ambiguities.
 - a. Vagueness of roles: persons not clear about duties and requirements.
 - b. Overlapping roles.
 - c. Inconsistency within roles: random or erratic change of procedures and functions.
 - d. Contradiction within and among roles: mutually exclusive expectations of behavior.
3. Language differences: Lack of comprehension among work groups which is often overlooked in hospitals where multiple languages, some highly technical and restrictive, exist.

Many additional and unanticipated requirements are introduced for which no provision in the formal structure may exist. Preiss indicates informal organizations may grow from, or be strengthened by, outside stressful situations. "From all indications, hospitals would seem to qualify as high stress systems. Therefore one might expect to find a greater tendency toward informal structures there on the basis of stress probabilities alone. However, on the other side of the picture, the very nature of the hospital work calls for a high delineation of function and for exceptional

precision in behavior, particularly on the professional levels....Nevertheless...informal groups flourish in hospitals no less than elsewhere." It is to be understood also that "most people find it just as difficult to work under conditions of very high efficiency as they do under conditions of low efficiency. Primary informal groups may then arise to reestablish and reinforce interpersonal relations among organization members."

Informal primary groups may form on any one or a combination of the following bases (Preiss):

1. Occupational interests: horizontal; sharpen lines of organizational stratification.
2. Social-recreational interests: non-job activities; may cut across job groups.
3. Past history and experience: common background.
4. Physical similarity: race, color, sex.
5. Personal attraction: similar attitudes of the informal leaders.

Specifically, activities of the informal organization which may have a negative influence on the formal organization are (Preiss):

1. Disruption of the formal system: undermine the formal organization by supplanting it; exercising normative control of the members.
2. Incompatibility of purposes: prevents conflicting goals.
3. Increase of stress: foster and intensify intra-system differences; incite antagonisms.

4. Hindrance of change: stifling and nullifying new procedures.

The informal group may have value for the formal organization, however, through (Preiss):

1. Preservation of the formal system: compensate for defects; provide job resources.
2. Redefinition of purposes: access weakness; calls attention to new needs and requirements.
3. Acting as a safety valve for tensions and stress: outlet; complain; point up objects of irritation.
4. Assistance to change: provides change agents for planning and programs.

Informal groups will exist in any formal organization. This is to be desired and encouraged because it gives strength and permanence to the organization. The informal groups need to be identified for purposes or recognizing the functions and dysfunctions to the organization. This is done to maximize the positive contribution they can make and to correct those situations which lead to dysfunctional behaviors on the part of the informal group members.

Power, status, and task.-Rosengren (1960), discusses hospital member roles in terms of determinate and indeterminate status. The importance of this distinction, as seen by Rosengren, is that "the form that hospital role takes can have profound effects upon the operation of the entire administrative system." This study, as do many found in the hospital literature, deals with a psychiatric hospital.

However, the discussion is of significance to the present analysis; numerous departments and individuals in a variety of health care institutions tend to have similar characteristics - similar training, many common motivations and goals, and share the formal task objective of curing the sick.

Determinate status is defined as the administrative or occupational positions which involve relatively rigid, specific and highly articulated role expectations; individuals occupy determinate positions, relative to others, by means of reference to authority and legitimacy of power. This is the formal organization. Within the psychiatric hospital, the positions that tended to have determinate roles were the clinical psychologist, psychiatric social worker, teachers, pediatricians, nurses, maintenance personnel, and residential care personnel. Prestige in the determinate set tends to accrue to the position.

Indeterminate status is vague and diffuse with only generalized expectations; individuals in indeterminate positions tend to relate to others by means of informal influence and manipulation. This is the informal organization. Indeterminate roles are held by research personnel, therapists, ward personnel, general administrators, department heads, and patients. Prestige in the indeterminate set tends to accrue to the person, not the position. Because

of more vague limits, power struggles are most likely to occur in the indeterminate roles.

The problem of conflict is not as potentially great in all health care settings as in the psychiatric hospital: "With rare exceptions, all statuses in the general hospital are defined in the determined sense." "It is likely that the primary [informal] group is the most important locus of decision in the hospital. [Whether decisions are made by] crystallize by an administrator or department head acting independently, or by large group vote, its roots will probably be found in consensus reached within a primary framework" (Wilson, 1958).

It is "to be expected that persons whose roles are defined in a determinate fashion (formal) will be more prone to consider the control aspects of patient and staff behavior as being at least as significant as the treatment aspects of behavior....Those who enact indeterminate roles, however, are in a position of being able to shift their methods and their purposes in accordance with the behavior of others.... In order to conform to the prestige level of his job, the person in a determinate position must behave in prescribed ways. But the prestige of the occupants of indeterminate positions is not contingent upon their reacting in specific ways."

High status determinate persons communicate with high status indeterminant persons; however, the communication channels are being used. "A miniature system of social stratification evolves within the cluster of determinate statuses on the basis of which prestige, power, and authority are distributed within the cluster. This emergent type of organization and feeling of commonality within the determinate clusters tend to make units of real power nodes to be dealt with in the hospital. Among those who occupy indeterminate statuses, however, there tends to be less solidarity; this is largely a consequence of diffuse standards of competency and differences between the members as to what constitutes proper foci for the establishment of competency standards" (Rosengren, 1960).

It is possible for high status persons to hold both determinate and indeterminate positions; in such situations they must know at any point in time which role they are playing so they can move between behaviors and processes which are associated with each type of role.

As a guide to administrators, Rosengren advises that, in general, "the specificity or diffuseness with which an administrator defines functions, the extent to which he assigns combinations of determinateness and indeterminateness to particular personnel, can have broad implications for the operation of the total hospital setting at both the formal and informal levels." The contrast is between concern

for rules, disruptive behavior, rigid standards, and ritualism on the one hand, and permissiveness, fluidity, and flexibility of attitudes toward methods, goals, and acceptable deviations on the other.

Effect of formal task on informal relations.-In a study of three different hospital groups (Wilson, 1958) - surgical team, administration, and social service - it was found that no matter how structured and exacting the work, the groups developed a definite group identification and "we" feeling. This can lead, in turn, to barriers against non-group members - the outgroups - through specialized activities and professional language. This negative effect is partially reduced in the normal activities of the organization because "very few individuals belong exclusively to a particular primary group. They have overlapping memberships in several groups, of which some of the most significant are not primary at all." It is to be recalled, however, that other writers in the hospital field previously quoted might not accept this conclusion; merely being members does not necessarily guarantee an identification with that group. This tends to be more true of those in the professional - higher status - positions who do not choose to be associated with lower status persons.

A second example.-Coser (1958) identified differences between the behaviors of a medical ward and a surgical ward

in a research and teaching hospital. The purpose of the study was to discover the relations between member role behavior and the social structure in the wards. At the nurses station in the surgical there was a great deal of joking, swearing, laughing, and grumbling. Generally, the situation lacked formality. More nurses participated in "rounds," and most felt them to be valuable. There was relatively more social distance between nurses and physicians, however. There tended to be a lack of delegation of duties on the ward. This was believed to be a carry over from the surgical suite itself; in an emergency situation, there is often too little time for the physician to delegate. Quick decisions are made and orders are given without consultation; they are carried out without question. There was relatively less distinction in roles and status between interns and nurses, resulting in more conversation between members of these two groups. The surgical nurses felt less tied to regulation, because of the situation and because the physicians expected them to think rapidly and correctly in his absence during an emergency situation.

The medical ward, in contrast, was characterized by "polite" conversation with only rare informal talks between the physician and the nurse. The pace was slower because of the nature of the diagnostic and treatment procedures; there was more time for the physician to deliberate his decisions

and consider alternatives. This, in turn, allowed time for consultation and teamwork. Although the chief resident made final decisions, there was greater delegation of authority through the organization structure because of the less hurried situation. This contrast in delegating procedures between the two wards was true even though both had the same formal authority structure. While physicians in the surgical wards expected the nurses to "think," nurses in the medical ward were expected to carry out orders. This distinction would appear to be significant to the study by Argyris (1956), although he does not make this differentiation.

Communication.-Argyris has looked at the communication process, defined as "all the behavioral activities which define and implement ways, methods, and media of communications" (1956, p. 64). All nurses have communication tasks. The most frequent communication participated in by head nurses and the staff nurses is with patients rather than with other nurses or with their superiors, due to the nature of the workflow process. Workflows are found to play a dominant part in defining the communication channels only as long as individuals are obtaining some minimum amount of self actualization. However, when self actualization is reduced below some acceptable minimum point in the formal channels, the individuals tend to create informal channels.

Orderlies, messengers, and housekeeping personnel, for example, were unable to communicate conveniently because of their workflows. To compensate for this, they developed informal communication for self actualization.

For nurses, communication was polite, and appeared warm and friendly, but, in fact, at times was hostile and filled with negative feelings. This was because the nurses tended to bottle up their feelings. This is one reason why management often has difficulty in discovering the needs of nurses; the nurses are "self controlled" and do not express their desires or frustrations to their superiors (Argyris, p. 92).

Summary

The comment is to be recalled that "hospitals, after all, deal with crises in human affairs" (Burling, Lentz, and Wilson, 1956, p. 58). This has definite implications for the manager. In the discussion of leadership, the point has been made that searching for effective leadership goes on within the group during times of crises. This suggests that there may be a constant threat to the hospital manager - especially those supervising departments directly related to patient care - in retaining effective leadership over his group.

In this chapter, attention has been given to the hospital organization and the people who compose it. The

The intent has not been to provide an exhaustive analysis, but, rather, to provide some suggestion of the environment in the hospital to indicate challenges for the hospital manager whether his duties and background are primarily medical, parimedical, or administrative in nature.

Chapter XIII, following, turns attention directly to the hospital managers who are the primary purpose and object of this discussion.

CHAPTER XIII

HOSPITAL LEADERSHIP

Introduction

A hospital "which was appropriately organized and managed to do the job that had to be done a generation ago is almost certainly not...properly organized and managed to do the hospital job today" (Simon, 1958). With required changes, then, "the most important task of the leadership of hospitals, the hospital administrator and the senior medical staff, has been to anticipate these changes or, failing to anticipate them, at least to note them when they have arrived and to bring about the appropriate changes in the internal structure of the environment of the hospital to meet them" (Simon).

The administrator plays his role by performing and seeing that roles are performed of an innovative nature, and then organizing and leading a hospital that can adapt to the innovations - to the changes. In "ordinary decision making the principal task is to look at the situation and to decide which of a well known list of possible actions from the repertoire of actions that are available is the appropriate one for this situation. Such action is comparable to the medical man's action: 'diagnose and

treat.'...In the case of novel problems, however, perhaps the largest part of the decision making process consists in constructing and reviewing alternatives...deciding what to do when it is not at all obvious after critical examination that anything can be done..." (Simon). Therefore, the hospital manager is required to be skilled in both administration and human relations. This is part of the role of all hospital management.

The Manager

Desired characteristics

In order properly to direct his efforts, the manager must keep in mind that he is accomplishing things through people. Schoenfeld (1957) provides a list of desirable characteristics of hospital managers found to be, perhaps not surprisingly at this point, similar to most lists of characteristics of successful managers presented previously.

1. Mental attitudes: He must want to do a good job in his management position, to improve himself, and enjoy the challenge of his duties and responsibilities.
2. Knowledge of purpose of the manager's job in the hospital: This requires knowing how his department relates to the other departments for patient care. It also means staying current on new developments.
3. Knowledge of functions of management and use them every day: In addition to the functions of planning, organizing, staffing, directing, and controlling, the author also emphasizes scheduling, delegation, training, motivation, coordination, discipline, follow-up, and evaluation.

4. A knowledge of and interest in people.
5. A constant striving for teamwork.

Relating a study of business leaders conducted by Fortune magazine to hospital leaders, Stryker (1961) cautions that the desired qualities of managers vary between levels in the organization. For example, while "dependability" means predictability at lower management levels, it means unpredictability at upper levels; the manager at the lower levels is most predictable when he performs in a way that is anticipated, whereas the manager at the higher levels is expected to innovate. These are not purely semantic differences, but are what the managers themselves have indicated by their responses to survey questions.

How well hospital administrators live up to these requirements is considered to be of primary importance. "In no area of professional activity do we find the clash between autocracy and democracy, between the overplaying of the part of the leader and the underplaying of group dynamics, so full of peril as in the field of hospital administration" (Bluestone, 1955). Improvement is needed because the demanding requirements are not always met: "I have seen men in hospital administration who have been so badly mis-cast by a board [of trustees] which is strange to the requirements of hospital progress that their personalities exercised a retrograde influence on their unhappy surroundings."

Predispositions.-Of the studies reviewed, that by Argyris is the most systematic in analysis of the personality characteristic of hospital managers. Although limited, the description of the "predispositions" of 3 groups of managers in "cancer hospital," is of value as a starting point in understanding the manager.

In order of significance, top level managers, have predisposition to be (Argyris, 1956):

1. Directive.
2. Variety seeking.
3. Challenge accepting.
4. Self responsible.
5. Self controlled.
6. Tolerant to frustration.
7. Success seeking.
8. Expert.
9. Self motivated.
10. Compatible.
11. Organizationally identified.
12. Industrious.
13. Power minded.
14. Organizationally upward mobile.

Argyris lists the "predispositions" of nursing "supervisors" in order of their significance to the management group (p. 30):

1. Directive.
2. Variety seeking.
3. Indispensable.
4. Compatible.
5. Just-wage conscious.
6. Self control; self responsible; expert.
7. Prestige minded; organizationally upward mobile; security conscious.
8. Industrious; success seeking.
9. Self motivated; business minded; objective; problem solving minded; organizationally identified; challenge rejecting.

For comparison, a study of head nurses was also conducted. In order of their significance to the head nurses, the predispositions were (p. 38):

1. Variety seeking.
2. Self controlled.
3. Indispensable; compatible; self responsible.
4. Directive.
5. Expert.
6. Passive.
7. Organize the job.
8. Prestige minded.
9. Organizationally upward mobile; mathematically minded; challenge accepting; home minded.

To better understand needs of managers of other hospital departments, similar studies could be made.

For those attempting to provide training for hospital managers, the needs of the managers must be kept in mind. A comparison of the 3 lists of predispositions above suggests the needs of one group are not necessarily those of another - at least not in relative terms. It is also important for top management to be aware that their needs and perceptions are not necessarily those of all of their subordinate managers.

Leadership skills

Skills required.-Although it has been suggested "the theory that a supervisor should stick to supervising may make more sense in a business than in a hospital" (Burling, Lentz, and Wilson, p. 115), and although it has been found that at lower levels in the hospital organization subordinates react most favorably to managers who are proficient in the appropriate technical skills, nonetheless, personnel at all levels in the organization look with greatest favor on their immediate superior to the extent that he effectively performs his "human relations" functions (Georgopoulos and Mann, p. 446). Understandably, all levels of personnel want to be treated with consideration and dignity. They may seek different expressions of this from their superior, but the need is both present and potent (Georgopoulos and Mann, pp. 458-468).

Bluestone (1955) suggests that "character in an organization where human life and happiness are directly at stake is far more important than cold skill." This is concurred with by Davis (1955) who argues that it is "leadership," not "management skills," that should be the goal of the administrator. A leadership behavior pattern is more than an act on the part of the manager: "human relations is not a method, a program, or a technique. It is a state of mind" (Gross, 1959).

Skills applied.-Georgopoulos and Mann, found supervisors were perceived by their subordinates as being strongest in technical skills and weakest in human relations skills (1962, p. 438). However, there was a correlation between the skills; those strongest in technical skills were also relatively stronger in human relations skills. Administrative skills were found to be relatively more important at top management levels; technical skills were relatively more important at lower management levels. However, all levels of management required human relations skills to be most effective (p. 468). Stryker (1961) finds "among the hospital administrators that I have met and talked to, this idea of working for something outside themselves clearly had a powerful effect on some of them. The motive of service to their organizations seemed to help them overcome deficiencies in their personalities....The major deficiencies

we exhibit in our own jobs are the result of personal feelings and thoughts about ourselves and are not produced by what's outside of us."

Generally, all managers having many predispositions to express, display much psychological energy. They are seen as seeking high goals, which, if unattained, makes failure more difficult to accept. They "are always working harder than is necessary, and setting their goals higher than is expected of them" (Argyris, p. 99). However, Argyris does find that the lower the manager is in the organization, the less these drives are true (p. 42).

Supervisory nurses and head nurses have predispositions that manifest themselves in the following manner (Argyris, p. 44):

1. Human relations is characterized by the nurses as being indispensable, self controlled, and harmonious.

- a. Behaving this way to patients is necessary and rewarding.

- b. The head nurse generally doubts that the same predispositions are also successful in administration. They doubt that they will lead to spontaneous communication of feelings and communication of problems.

- c. Relations with patients are more satisfying than performing administrative tasks.

2. People behave to others according to their own self conception. Therefore, when supervisory and head nurses perform administrative duties they:

- a. Are sensitive to others' feelings.

- b. Internalize others' feelings, but will not confront the other persons if they have complaints or problems.
- c. Minimize administrative and maximize nursing standards.
- d. Are hesitant about disciplining.
- e. Are hesitant about directing others and checking performance.
- f. Internalize dissatisfactions with their subordinates.
- g. Like those who help them fulfill their own predispositions. Therefore, they tend to like subordinates who have similar predispositions.

Duties performed.-Findings by Stanford (1957) tend to support the conclusions of Argyris. Stanford's data are based on a survey of head nurses in 34 hospitals. Between 40.5 and 90 per cent of the time of head nurses - an average of 59 per cent of the time - was spent on jobs that were intended to be performed by subordinates of the head nurse. Of equal significance, and consistent with the predispositions identified by Argyris, most of the head nurses' time was spent in nursing functions below the talents and training of a registered nurse. Such activities brought the head nurse closer to the patient - closer to the satisfaction of her predispositions. From study of a large metropolitan hospital, it was concluded that first line supervisors - lower management - were less perceptive than their superiors to human relations concepts and did not relate human relations instructional material to their everyday activities

on the job. "Understanding and insight require experience as well as knowledge, and this group had little experience in the area of supervision" (USPHS, 1964, p. 37).

In the same study it was found that lower level "supervisors" were not managers in the true sense of the word, but were actually "working leaders." They were likely to set the work pace and perform non-managerial duties in an emergency. The manager's major function as a "manager" was limited mainly to reporting to his superior problems he was unable to control. The need for performing many non-management functions was due to departmental understaffing and turnover of personnel, requiring the supervisor to fill in. However, "filling-in" became a part of the managers' normal duties (USPHS, p. 45). These non-managerial duties tend to be less common the higher the manager is in the organization hierarchy; there is much of the statement that is consistent with behaviors of top managers in the smaller hospitals. (As indicated in Chapter III: Underwood, 1963; Saathoff and Kurtz, 1962.)

Group participation.—If group discussion and group problem solving, as indications of democratic leadership, are indeed most desirable, the conclusions presented by Panhorst (1955) are far from encouraging. In a mailed questionnaire to department heads in hospitals of 50 beds or more selected randomly by geographic distribution, a 79

per cent response was obtained. Questions related to the department heads' attitudes toward departmental meetings and the number of meetings held. Answers from respondents ranged from "Could not get along without them" to "Never had department head meetings because they are a leisure loitering period and a waste of money." Although slightly over 60 per cent of the responding department heads indicated they held "regular" meetings, of this group nearly three-quarters meet less than once a week, and most only once a month. Approximately 16 per cent indicated they never held meetings. When it is recalled that even the strongest advocates of group discussion indicate that it tends to be most effective when there is continuous and easy relationship between the manager and his subordinates, it would appear that for most who do have meetings the maximum advantages cannot be obtained. This suggests a general lack of true democratic leadership as defined, and is, therefore contrary to conclusions of researchers in the field and contrary to recommendations of managers both within and outside the hospital field.

Difficulties of Introducing Democratic Leadership

Environmental considerations

Historically, leadership in the hospital has been authoritarian in nature. Georgopoulos and Mann (p. 8)

expect this tradition to continue because of (1) the life and death struggle within the hospital requires strict attention to rules and cannot tolerate error; (2) a desire by all for efficiency; and (3) a general adherence to tradition from which people hesitate to change (p. 8). Professionalism, cherished by many in the hospital, leads to norms and expectations, with guides established to insure its continuity.

Resistance

Georgopoulos and Mann foresee little change from the traditional autocratic management practices in the immediate future. Argyris (1956, p. 10) in his study of a single hospital found that when the hospital administrator did attempt to introduce democratic leadership in the hospital, he was not effective. The explanation by Argyris was that many of the administrator's subordinate managers did not believe it could be effective, and nurses did not want to accept the responsibility that went along with group discussion and group problem solving. This result might well have been anticipated. It has been observed from analysis of other firms that changing behavior patterns of individuals - manager and subordinate - is not an easy task because one is also attempting to deal with individual basic attitudes which underlie his behavior. From experience as a member of hospital administration, Johnson (1962) reports that when

a manager first includes his subordinates in problem solving, the subordinate may not even believe the manager is serious.

Inconsistent philosophy

Mathews (1962) cautions that it is not only the type, but the consistency as well which is important to effective leadership. It has already been found that a change from autocratic to democratic leadership - even in cases where the democratic form ultimately proved to be superior - may have disruptive consequences at the beginning. As was seen in Tannenbaum and Schmidt's (1958) scale of possible management behaviors (Chapter X), the manager may operate anywhere within this range. Depending upon a given situation, the manager may change his behavior patterns from one time to another. Mathews defines "philosophies" that may be found in a given organization. His definitions, although not using the terms specifically, apply closely to what has been discussed before as autocratic and democratic leadership:

Autocratic assumptions: This is "based upon the assumption that human behavior is the result of conditioning. The individual is...capable of accepting directions, but not of initiating action. He automatically responds to and is molded by his environmental stimuli and thus, he behaves as the rational plan of the organization requires him to behave."

Democratic assumptions: This is the belief "that each human being is unique, sensitive and active. He is capable of interacting with his environment and seeks to use his abilities and his potential for growth."

As one measure of worker job satisfaction in the hospital, Mathews looked at worker turnover. "Short tenure or turnover of personnel is related to inconsistency in the administrative philosophies which guide the worker of the hospital." It was not necessarily that the worker could not express himself as he wanted: "The assumption that workers want to become involved and want to make decisions about the work of the organization may not be valid in all cases." The key factor appeared to be that the employee did not know what to expect of his superior next.

Inappropriate predispositions

Having identified the predispositions of the hospital's top management, managerial nurses, and staff nurses, Argyris concludes that "the lack of effectiveness of the management group stems from the fact that the executives have personalities that are fundamentally different from the ones that are required for their group to be effective" (Argyris, p. 104).

The major orientation of the nurse is on medical activities and administration is considered as a "second class citizen" (Argyris, p. 67). Nurses, generally, have no psychological desire to be managers. The loyalty of the nurses rests with their profession of nursing and not with the hospital as an organization. Because of the supervisory nurses' attitudes toward management functions, and management

in general, they tend to minimize the supervisory process. The supervisory nurse, in attempting to gain self expression, turns to her nursing assignments, thereby limiting her activities and effectiveness in administration. Because the administrative duties are neglected, the administrative process does not operate as designed or intended. The nurse thereby has proof of the ineffectiveness of administration, although she has been a major cause of the failure (Argyris, p. 67). The nurse "agrees that we need good administration in order to have good nursing, yet she does not seem to take the next step to help the administration make improvements" (p. 70). All nursing supervisors "report that they believe their jobs have low prestige, primarily because it is 'too administrative.'...Administration, therefore, becomes the whipping post for many other problems" (p. 68). Of the managerial and non-managerial nurses surveyed, only 27 per cent of the supervisory nurses, 9 per cent of the head nurses, and none of the staff nurses indicated they like to be or would like to be a supervisory nurse.

For the manager desiring to analyze and correct situations in the nursing department, Argyris points out a major difficulty. Nurses do not freely communicate their feelings. This is because of their predispositions toward being self controlled and compatible, as well as their general negative attitude toward management. When interviewed, nurses tend

to identify their problems as being due to such factors as inadequate dietary service, poor schedules of the pharmacy department, lack of adequate messenger service, etc. Problems are identified with groups other than the nursing department. Argyris indicates that the real problems are mainly the lack of nurses' administrative ability and the poor attitudes nurses have toward administration (p. 92).

There appears to be a conflict in the minds of nurses toward their supervisors. Nurses feel that "'passive' leadership is very helpful in that, in their opinion, it lessens the pressures on them and simultaneously increases the possibility of their obtaining increased self actualization....[This] leads to feelings of self responsibility... [but] basically they feel dependent upon their respective leader, especially for such activities as direction, rewards, evaluations of performance, perpetuation, advancements, vacations, hours of work, work schedules, etc" (Argyris, p. 115). In turn, the nurse has "power over the administration of the hospital. Participants along the workflow process report that they are dependent upon one another in terms of their ability and willingness to accomplish their workflow tasks." This tends to support the conclusions of Georgopoulos and Mann related to the importance of informal communication. "To the extent that the nurse is willing to use this dependence as a 'power leverage'

she may be capable of neutralizing the organizational power of her leader, or even of increasing its effects" (Argyris, p. 115). Formally or informally, directly or indirectly, employees tend to make their desires felt.

Inadequate preparation

The problem for much of this is placed by Barnett and Pendall (1957) at the door of hospital top management. "It has been common to select these individuals [those selected for management] on the basis of technical skill in their specialty rather than because of demonstrated administrative talent. Thus, a head nurse may gain status because she is a good nurse, a criterion which has basically nothing to do with natural ability in the administrative aspects of the head nurse's job." The difficulty of a nurse in adapting to her role in management may, in part, be explained by the statement of Hanlon (1960) based on a systematic study of supervisory nurses: "There is probably no area in nursing that has been more neglected and misunderstood than the role and function of the nursing service supervisor."

Inaccurate interpretation

In administration.—"It is now generally recognized that good supervision in all departments of a hospital is essential to the maintenance and improvement of the quantity

and quality of medical care to the patient...[but] it is alarming the amount of misunderstanding that exists as to the functions and responsibilities...[not only among] administrators...but also, and to a greater degree within the ranks of those who are charged with supervisory responsibilities" (Schoenfeld, 1957).

In human relations.--The basic conflict between a hospital manager's expressed generalizations about human relations concepts and their specific application on the job is indicated in a statement by Ryan (1962): "I do not believe in the 'Great Man' theory of world history, but I do believe in the individual man as the instrumentality through which leadership has to be exercised at any level in any organization....[There is a] usefulness of committees and groups of various kinds in aiding one to observe, comprehend, evaluate and communicate, but I have an inherent distrust of committee judgment in the decision making process. Usually, at best, it leads to decisions representing the common denominator and sometimes the lowest common denominator of the thoughts of all present. At worst, it results in no decision at all...." Thus, it appears that human relations, group discussion, and democratic leadership mean different things to different people. Words themselves do not express necessarily the meanings applied to the words.

Need for Democratic Leadership in the Hospital

Nature of the hospital setting

General situation.-There is a definite indication that with the current development of "less Victorian backgrounds" there is less acceptance of strict obedience (Burling, Lentz, and Wilson, 1956, p. 98). Also, multiple lines of authority in the hospital - trustees, physicians, and administrators - create a natural tendency to decentralization (Georgopoulos and Mann, p. 13). As has been discovered, decentralization is contrary to autocratic leadership; it is a manifestation of a broad philosophy of management oriented toward democratic leadership.

Work performed within the hospital is highly variable and irregular, requiring much of the work to be voluntary, informal, and of an expedient nature. These factors require a great deal of personal and group motivation often not required in other organizations. In addition, hospital activities require a great deal of individual and group coordination. Coordination is required because of (1) the division of labor; (2) specialization; and (3) organizational interdependency (Georgopoulos and Mann, p. 270). Motivational and coordinative tasks fall to the manager. His effectiveness in performing these requirements determines his effectiveness as a leader.

Georgopoulos and Mann have found that democratic leadership practices have specific and effective application in the hospital.

Specific examples.-Even in the operating room environment, where the surgeon is the unquestioned authority, democratic concepts and practices are encouraged. In a message directed to operating room nurses, Beaudry (1959) points out that "traditionally supervision has been, in part, an inspection, and authority has been that of one person. Today the emphasis is on the workers - on helping and planning with them - on working in cooperation with many others. Modern supervision is based upon a democratic concept which implies: ability to adjust in an everchanging situation cooperation and confidence between supervisor and supervised. Taking individual differences into account ability of the supervisor to evaluate work by impersonal standards." This is an appeal for democratic behavior in what may well be the most inherently autocratic activity in the hospital.

The same appeal is made to supervisory personnel of the housekeeping department (DeScipio, 1962). Basically, as unskilled workers, housekeeping employees undoubtedly represent, in terms of training and skill required, the opposite end of the spectrum from operating room personnel.

Coordination related to democratic leadership

Need for coordination.-As the hospital becomes more decentralized, the manager's role as a coordinator becomes more important. Complete and accurate planning make coordination more effective (Georgopoulos and Mann, p. 277). However, no plan can accurately anticipate or describe all organizational activities. The more complex the plan, the more difficult it is to communicate and understand. Communication involves both the sender - the manager in this case - and the receiver - the subordinate; the message must not only be well thought out and transmitted clearly, but its content must be acceptable if it is to be received in a manner such that the subordinate will both understand it and comply with it. The more shared the expectations between the manager and the subordinate, the more likely is the communication to be understood and followed; again there exists a need for coordination.

Brannen (1959) supports the basic premise of the importance of coordination and the need for democratic leadership. "The primary function of the administrators is to induce voluntary cooperation on the part of their subordinates and associates. It follows from this that the most important qualifications of administrators are: (1) an understanding of why persons are willing to contribute their efforts; and (2) skill in obtaining cooperation from

the members of an organization in working toward planned objectives." Cooperation is a two way street: "Employees cooperate with those from whom they receive cooperation." It is people who make plans succeed: "The best systems cannot function properly if employees do not desire to see them succeed." From this, the responsibility of management seems self evident to Brannen. "If employees are encouraged to participate in developing a solution, they will have an interest in seeing that the solution is effective."

To the extent that all share the expectations that the hospital is intended to provide quality patient care, the job of managerial coordination has a greater chance for success. To the extent that specialization and division of labor changes expectations and orientations, coordination is hampered. Schoenfeld (1955) has recognized that specialization increases the need for good organization and coordination. It has already been seen that the hospital is characterized by much strain, which, in and of itself, is negatively related to coordination (Georgopoulos and Mann, p. 317). Although the hospital administrator and the director of nursing are believed to have the most crucial coordination duties related to patient care, all in hospital managerial positions have an important role to fulfill (Georgopoulos and Mann, p. 328). It is also concluded coordination, rather than problem identification or problem solving, is most crucial to the hospital's effectiveness;

it is the prevention of problems on a day-to-day basis rather than the solving of problems as a separate activity that is most significant.

Coordination and communication.—The effective coordinator is the effective communicator (Georgopoulos and Mann, p. 328). Further, it is "openness" of communication rather than formal "programmed" communication which proves to be most significant. Burling and his associates (Burling, Lentz, and Wilson, p. 324) believe hospitals generally have good coordination and concur that coordination is necessary for, and positively is related to, quality patient care. They also agree with Georgopoulos and Mann that much of this coordination is due to informal, horizontal channels of communication. They have found that an exchange of information brought both sympathetic insights of the problems of others, and created a desire to work together on common problems (Burling, Lentz, and Wilson, p. 329). It appears, then, that the manager who structures a freer exchange of ideas between personnel and departments improves communication, and, therefore, improves patient care. To round out the picture, the better the coordination through freer communication, the more sharedness and complementarity of expectations, the higher the level of member cooperation, the greater openness of communication, the greater adherence to rules, and the more prompt solving of problems, the less

tension and "unreasonable" pressure, and the greater the coordination there will be specifically.

Implications.-Coordination, through a freer exchange of ideas, is most closely related to previous discussion of democratic leadership. Therefore, even in the hospital, where strict adherence to specific directions is of crucial importance to the life and death struggle, the results of improved performance hold.

The Democratic Hospital Leader

Leader behavior and member satisfaction

The satisfaction of individual and group needs are obtained to a great extent, through the organization as controlled by the management. Need satisfaction must be accomplished if the hospital's major goal of providing quality patient care is to be reached. Coordination is significantly correlated to patient care; interpersonal communication, as a necessary part of coordination, contributes to the individual group member's self actualization.

Effective leadership

The effective manager motivates his subordinates to practice coordination on an inter- and intra-departmental basis. This is accomplished when the manager (Georgopoulos and Mann, p. 489):

1. Asks subordinates about work problems.
2. Expressed appreciation.
3. Is receptive to ideas and suggestions.
4. Keeps his subordinates informed.

Basically, this is the democratic leader who has been found to be typically, the most effective in the majority of situations.

Leadership and change

The hospital must adapt and change to improved methods of patient care as they are developed. The most rapid adjustment to change occurs when there is (Georgopoulos and Mann, p. 579):

1. Adequate information about the change and the reasons for the change.
2. Adequate communication.
3. Mutual understanding of problems of others throughout the hospital.
4. Less tension.
5. Belief by subordinates that their superiors understand their problems.
6. A clearly defined set of rules.
7. Good coordination.

Leadership and employee development

Johnson (1962) believes "nearly all operating problems can be seen as teaching situations and learning

experiences." His conclusions are much like those of McGregor (1960) quoted earlier. If the manager is to help his people develop, he must believe that (1) all situations are growth situations; and (2) all subordinates have growth potential. The manager must be willing to give his subordinates the opportunity for growth by providing them with freedom to act and make decisions. At the same time, the manager must face up to the responsibility of being the evaluator of his subordinates.

Leader development

If the executive is to be effective in developing others in the organization, personalities - predispositions - of some hospital managers must be modified. For the hospital studied, Argyris suggests the management predispositions as found, call for modification in the following manner (p. 104):

1. Directive: Instead of initiating action, the executive must listen, draw out, and question carefully. This helps the subordinate to clarify his thoughts and arrive at his own decisions.
2. Variety seeking: No modifications from the high level of variety seeking are needed.
3. Challenge accepting: The manager must be challenged to understand his personnel, not in attempting to "conquer" them. Challenges of both an emotional and intellectual nature are called for.
4. Self responsible: The manager must recognize the healthy dependencies his subordinates have on him, but realize that people still want to be their own boss.

5. Self controlled: The manager should not inhibit expressing his feelings and tensions.
6. Tolerant to frustration: The manager should not fight frustration, but should analyze emotional tensions.
7. Success seeking: The manager should not try for quick goals, but should strive for growth and self development in his subordinates.
8. Expert: The manager should accept his own limitations, and attempt to team up with others to compensate for these limitations.
9. Self motivated: It is important that the self motivated person not condemn those who are not. A "directive, go-getting, needling executive who is trying to get the job done can hardly develop go-getting leaders. If he directs, someone must obey; if he is domineering, someone must be submissive. To be sure, there are go-getting executives who have developed under equally (if not more so), authoritarian bases. However, in the author's [Argyris] opinion, they have been able to do so because they have a high frustration tolerance; they are self-controlled, self motivated, industrious, compatible, and so on down the list. In other words, the go-getting directive boss does not develop go-getting executives, unless they already have these characteristics" (Argyris, p. 104). Saunders (1958) suggests that the "secret of great leaders" is that they "did not expect perfection in people or demand that other men and women think, feel, or talk as they did, or that they should be of the same social economic, or political views. They valued and utilized not only the education, experience, and skill of the men and women they gathered around them, but also the personal human characteristics that motivated them."
10. Compatible: The manager should not attempt to be compatible. That is, he should not cover up, gloss over, minimize, or refuse to recognize conflicts or tension. There is need to have feelings discussed and expressed so causes of the conflict or tension can be found and future conflict avoided.
11. Organizationally identified: The manager needs to place most emphasis on needs of various individuals. There may be a conflict between the organization needs and the individual needs.

12. Industrious: No modifications are needed from the level of industriousness the typical manager possesses.

13. Power minded: The manager should attempt to minimize the dependence of others on him. A statement by Bluestone (1955) is significant here: "Patients bow and scrape before the administrator because their lives and their livelihoods depend on their acceptance by the superiors....[In an organization in which there are] too many of them taking orders like the members of the Light Brigade which had best not be disobeyed, and you have a situation of imminent danger in which the sick man may find himself sacrificed to certain cravings of which power for the executive may only be a symptom."

14. Organizationally upward mobile: It is a better attitude to prefer to live in a group where all members have equal power.

For the manager to arrive at this point, to make changes in his behavior, requires changes in personality. This is difficult to do because "most individuals will do anything to avoid a good, long penetrating analytical look at themselves" (Gross, 1959).

Concluding remarks

It is appropriate to conclude this portion of the discussion with statements by Barnett and Pendall. "As in other fields, hospital administration has traditionally been regarded as a technical skill, developed and honed to a fine edge by repeated applications of technical knowledge to technical problems...the how-to-do-it variety...factual information pertinent to day-to-day hospital operations.... [However] there is good reason to believe that today's administrator needs even more of the fundamentals, and less of

the details; more of the heart of administration, and less of the mechanics." The manager can not neglect one aspect of his duties to concentrate on another aspect. "The administrator needs certain technical and environmental information about the specific enterprise or activity he administers; in the case of the hospital administrator, this includes information pertaining to the day-to-day hospital operations, but also an understanding and appreciation of the factors such as the hospital's role in the community, the specialized functioning of the board of trustees and the medical staff, and the relationships peculiar to the hospital world. But first and foremost, the hospital administrator must be an administrator...certain skills, aptitudes, and attitudes...a certain level of intelligence and a certain moral outlook...an understanding of certain factual information common to administration regardless of speciality." In his own development and behavior, and for his guidance of his subordinates' development and behavior "the how at this time appears less important than the why" (Barnett and Pendall, 1957).

Summary

At the conclusion of Section Two, The Philosophy of Management, the question was posed as to whether the philosophy that advocated a recognition of the dignity of man was

the most practical from the standpoint of actual organization practice. Section Three, Leadership, in large measure, has been concerned with providing an answer to this question.

A review of management literature reveals that those who have studied the manager in practice have generally concluded that those most successful are equally conscious of both organizational productivity and organizational member satisfactions. It is accepted that through member satisfaction effective productivity is obtained. However, there is not complete agreement as to how member satisfaction is best obtained. Because of this lack of agreement, it has been necessary to pursue the point further. A satisfactory answer to this question is necessary to provide guidance as to the most effective means of stimulating the manager in his own training, and will indicate in what forms of leadership the manager must be trained so that he can obtain the most effective performance from his subordinates.

Different leadership behavior patterns are characteristic of different managers, and individuals vary in their responses to various forms of leadership. This is consistent with the philosophy which indicates the uniqueness of individuals. The successful manager is able to adapt his behavior to changing circumstances - different tasks, different environmental situations, and different group needs.

It appears that social relations, more than any other factor, dictate what behavior is most appropriate for the manager at any one time. The philosophy indicates that the successful manager will be more "people" oriented than "thing" oriented.

If adaptability is desired, it is crucial that the characteristics of those who are able to adapt can be differentiated from those who resist adapting. This has been accomplished by comparing the authoritarian - autocratic - personality with the equalitarian - democratic - personality. The authoritarian is found to be, in comparison with the equalitarian, less friendly and more withdrawn. This is not acceptable to the philosophy that calls for respect of, and interaction with, one's fellows. The authoritarian tends to lack ability or desire to cooperate and lacks the desire to participate with others. At the same time, he is observed to perform less constructively in group effort. The authoritarian is less able to grow in emotional maturity, and is less willing to accept guidance from those who attempt to assist him. The philosophy requires that the individual seek self improvement and growth. Finally, the authoritarian sees his world as threatening, therefore he requires a high amount of structure in his surroundings and interpersonal relationships.

In contrast, the adequate person - the equalitarian - desires to grow; he cannot do this adequately in a highly structured world, and he cannot do it if he is dependent on others constantly to provide him guidance. The philosophy accepts the world as organized, and, therefore, it cannot be threatening if it is understood.

The equalitarian, is characterized as being sensitive to others, possessing a sense of security and having the capacity to diagnose and clarify situations. Such characteristics are desired by a philosophy which recognizes the importance of others and an order to the universe. At the same time that the equalitarian is able to, and chooses to, cooperate, he also desires individual freedom. Of equal significance, the characteristics which contribute to the most effective leadership behaviors are the same characteristics which contribute to the most effective follower behavior. The equalitarian - democratic - has been identified by most writers as the most effective leader; at the same time, the equalitarian has been identified as the most effective group member. The equalitarian personality is not only the one which the philosophy endorses, but the one that has proved to be the most productive for the organization. A further point about the equalitarian; because this type of individual is adaptive, is permissive, and does not feel threatened, he is most likely to accurately perceive

what change is necessary and then to change in the most efficient manner. He is the one who most likely will be successful as a leader, not because he behaves in one rigid "correct" way, but because he behaves in the "appropriate" way.

If, generally, the authoritarian personality is indicative of poorer leaders and poorer group members, the question arises as to what corrective action can be taken for such a person. The answer, within limits at least, appears to be proper training. Behavior is the result and expression of attitudes. Attitudes are learned, therefore, one can "unlearn" old attitudes and learn new ones. It is suggested, then, to develop better leaders training must be provided to aid the manager to become less authoritarian and to become more equalitarian. The manager must also learn how to aid his subordinates to become more equalitarian. Such training is necessary, not only to satisfy the requirements of the philosophy, but to provide the organization with the most effective personnel - managerial and non-managerial - which leads, in turn, to greater organizational effectiveness.

The philosophy indicates that individuals must be allowed to make decisions that concern themselves. The equalitarian leader encourages, the equalitarian group member desires, and groups function most effectively when

there is interpersonal involvement, group goal setting, and group decisions as to how the goals are to be reached and how performance is to be measured. A combination of a structured organization - recognizing an ordered universe - and freedom in decision making within the structure - recognizing the dignity and potential of man - create the greatest member satisfaction and productivity.

Through training, attitudes can be changed; attitudes are most effectively changed in a group setting. The individual responds favorably to those things which satisfy his needs. With practice in the classroom, participation brings about personal satisfaction; with practice at the work station, democratic leadership creates the greatest satisfaction for the group members. Thus, new and more satisfying behavior is learned; as learning occurs, attitudes change. The procedure is mutually supporting; new, successful behaviors lead to changed attitudes, and changed attitudes lead to new behavior patterns.

Notice must be made of the one author who indicates the greatest skepticism about democratic leadership.

McMurry (1958) has suggested that, although democratic leadership may be best, management does not have the capabilities to perform in a democratic manner. The manager is seen as inherently authoritarian. The solution proposed is to introduce "benevolent autocracy" which, basically, is

structuring the organization through specified organizing and controlling so the management at each level is directed to treat his subordinates in a democratic manner. The manager is forced to allow his subordinates to participate in group problem solving. Related to the philosophy this is not an acceptable approach, and compared to the bulk of the evidence it cannot be expected to be effective. At best, such an approach will be resisted to the point of reducing its desirable consequences. By being told how to behave, the manager is not being treated democratically himself, therefore, he cannot be expected to treat others democratically no matter what structural devices for control are introduced. Equalitarian behaviors introduced in an authoritarian manner is a contradiction in terms. By suggesting such a dogmatic approach instead of training the manager in democratic behaviors, the author is ignoring the fact that people can learn new behaviors - that people are developable.

McMurry's more recent argument (1965) suggests that democratic leadership is not even appropriate. He indicates that all members in the organization - managers and non-managers alike - do not seek independence or self expression, only security and dependence on others. However, McMurry's documentation supports his presentation no better than does that of other writers who reach the opposite conclusion concerning human needs. McMurry's approach does support

the conclusions of most, however, by showing again that if a person is not treated with dignity he cannot learn to have dignity. Certainly McMurry's appeal for greater controls over employees is not consistent with the philosophy. Consciously or unconsciously, McMurry exposes his own underlying philosophy when he speaks of subordinates - managers and non-managers alike - as the "little man." There are no "little" men in God's world; there are only men. They vary as to potential, the experiences they have had, and the amount of development they have obtained, but none of them is "little."

The majority of writers agree with Likert (1961, p. 101) that the successful manager is supportive, has confidence in his subordinates, has high expectations of them, and provides growth opportunities for them through training and coaching.

The challenge of the next section is to discover whether training in democratic leadership and in the development of an equalitarian personality can be successful, and if the learning techniques are consistent with the philosophy.

PART IV. LEARNING

CHAPTER XIV

PERSONALITY THEORY

Introduction

As an effective pattern of leadership is identified (Likert, 1961; McGregor, 1960), such information is valuable to the extent that the desired behavior can be taught - can be learned by the practicing manager. Katz (1955) has been quoted earlier as indicating the practices of management are skills and, as such, can be learned and developed.

The purpose of this section, therefore, is to identify methods of training which appear to be the most effective for learning in general, and, more specifically, most effective for learning a particular leadership behavior pattern. It has been indicated previously that leadership behavior is a reflection of the individual manager's philosophy of management, derived from his philosophy of life, which, in turn, is based on his basic attitudes as a reflection of his personality. The major interest in the proposed training program must be, then, not only to teach certain ways of behaving, but, more importantly, to teach a set of values which are compatible with and supportive of the type or types of leadership advocated.

The present approach will be to direct attention to considerations of theories of personality, theories of learning, and teaching practices. These theories and practices will be compared with actual management development programs presented in Part V.¹

Personality Theories

Personality defined

Specific interest with theories of personality in the present discussion is to establish in brief form an overall framework in which learning may be explored. Theories of personality fall into the province of the psychologist. Not all psychologists accept the same theory. Allport found almost fifty different definitions of personality in the literature of psychology. These have been classified into broad categories (1937):

1. Biosocial definition: This approach indicates a close correspondence with the popular use of the term as it equates personality to the "social stimulus value" of the individual. It is the reaction of other individuals to the subject which defines his personality.
2. Biophysical definition: This roots the personality firmly in characteristics or qualities of the subject. Personality has an organic side as well as a perceived side and may be linked to specific qualities of the individual which are susceptible to objective description and measurement.

¹Throughout this section a limited number of sources are cited. However, studies in support of the conclusions given by these sources are included in the bibliography.

3. Omnibus definition: This embraces personality by enumeration. The term personality includes everything about the individual. The theorist ordinarily lists the concepts he considers of primary importance in describing the individual and suggests that personality consists of them.
4. Integrative (organizational) function: Personality is here defined as the organization or pattern that is given to the various discrete behaviors of the individual or else they suggest that the organization results from the personality which is an active force within the individual. Personality is that which gives order and congruence to all the different kinds of behavior in which the individual engages.
5. Adjustment of the individual: This consists of the varied and yet typical efforts at adjustment which are carried out by the individual.
6. Unique (individual) aspects of behavior: This is a term to designate those things about the individual that are distinctive and set him apart from all other persons.
7. Essence of man: This refers to that part of the individual which is most representative of the individual, not only in that it differentiates him from other persons but, because it is what he actually is. Personality consists of what, in the final analysis, is most typical and deeply characteristic of the person.

Hall and Lindzey conclude that "it is our conviction that no substantive definition of personality can be applied with any generality.... Thus, we submit that personality is defined by the particular empirical concepts which are a part of the theory of personality employed by the observer" (1957, p. 9). With this in mind, then, the present search will be for a theory of personality which is consistent with the philosophy of management advocated earlier and with democratic leadership, and is compatible with a theory of

learning which would suggest the most effective means of teaching this philosophy and this management concept.

Requirements and value of a theory

Requirements.-Hall and Lindzey state further that "a theory of personality must be a set of assumptions relevant to human behavior together with the necessary empirical definitions. There is the further requirement that the theory must be relatively comprehensive. It must be prepared to deal with, or make predictions concerning, a wide range of human behavior. In fact, the theory should be prepared to deal with any behavioral phenomenon which can be shown to possess significance for the individual" (1957, p. 15). In general, however, these same writers find theories of personality to fall short of reaching these requirements. Their major complaint is that the theories tend to lack explicitness.

Value.-Nonetheless, there is a justification for theory. Theory provides necessary guidance in the development of a learning situation. "At the very least they [the theories] represent a cluster of attitudes (assumptions) concerning behavior which in a broad way limits the kinds of investigation to be considered crucial or important. In addition to stimulating certain general kinds of research they also provide specific parameters or dimensions which

are considered important in the exploration of these problems. Thus, even if the theory does not provide an exact proposition for test it orients the theorist toward certain problem areas and tells him that particular variables are of central importance in studying these problems....[The] capacity of these theories to generate ideas, to stimulate curiosity, to stir doubts, or to lead to convictions has resulted in a healthy flourishing of investigation in spite of their lack of formal elegance" (Hall and Lindzey, 1957, p. 17).

Comparison of theories of personality

Formal attributes.--Each of the following is an indication of an ideal theory of personality; the more closely the theory comes to reaching this ideal the more effectively it can be used (Hall and Lindzey, 1957, pp. 19-21).

1. Clarity and explicitness.
2. How well the theory is related to empirical phenomena.
3. What empirical research is generated by the theory.

Substantive attributes.--The following are the substantive attributes (issues) related to differences between present day personality theories (Hall and Lindzey, 1957, pp. 21-27):

1. Purposive or teleological qualities: Some theories of behavior create a model of the individual in which goal-striving, purpose, and seeking are viewed as essential and central aspects of the individual's behavior. Other theories assume that the striving and

seeking aspects of behavior are unimportant but believe that behavior can be accounted for adequately without such emphasis.

2. Conscious and unconscious determinants of behavior: Theories of personality range from those which explicitly reject any consideration of unconscious determinants of behavior, or refuse to accept the existence of such determinants, to the theories which consider them the most important or powerful determinants of behavior.

3. Hedonism, reward, or effect: The law of effect states that only those responses that are accompanied by a reward (reinforcement) will be retained or learned. (This, in its earlier formulations, was seen by Bentham and J. S. Mill as a question primarily of whether man was motivated by seeking pleasure and avoiding pain.) Theories range from those in which the role of reward is the dominant assumption to those that minimize the importance of reward or subsume its operation under other theoretical principles.

4. Principle of association (contiguity): Some theorists consider, more important than the reward or effect that follows a given response, the exact stimulus configuration accompanying the response. It is the simultaneous or near-simultaneous occurrence of a stimulus and response which leads to learning. These principles need not be mutually exclusive; there are theorists who have assigned to both principles a central role within the same theory.

5. Learning process: This is a fundamental distinction. Learning relates to the modification of behavior. Some theorists see in the understanding of the learning process the key to behavioral phenomena; for other theorists learning is an important but secondary problem. Some theorists focus upon the acquisitions or outcomes of learning rather than on the process itself.

6. Genetic or hereditary factors: Almost no theorist denies that hereditary factors have some implications for behavior, but there are many who have deemphasized their importance, insisting that all of the major behavioral phenomena can be understood without recourse to the biological and genetic.

7. Early developmental experiences: There are some theories which imply that the key to adult behavior is to be found in events that have taken place in the earliest years of development; other theories state that behavior can be understood and accounted for solely in terms of contemporary or ongoing events.

8. Continuity or discontinuity: Most theories that emphasize the learning process and/or the importance of early developmental experiences tend to view the individual as a continuously developing organism. Other theories tend to consider the organism as going through stages of development that are relatively independent and functionally separated from the earlier stages of development.

9. Holistic principles: The holistic position considers behavior to be understandable only in context, so that the total, functioning person together with the significant portions of his environment must be given simultaneous consideration if there is to be a fruitful outcome. Other theories accept that the very nature of science and investigation necessitates analysis and these positions usually show no special concern over violation to the integrity of the whole organism which may be involved in segmental studies.

10. Uniqueness or individuality: This is related to the issue of holism. Certain theories place a heavy emphasis upon the fact that each individual and each act is unique and not to be duplicated by any other individual or act. Some theories accept the fact that each individual is unique but propose that this can be accounted for in terms of differences in the patterning of the same underlying variables. Other theories maintain that individuals cannot even be compared fruitfully in terms of common or general variables as these distort and misrepresent the individual's uniqueness.

11. Psychological environment: This is a matter of emphasizing the physical world and its events can affect the individual only as he perceives or experiences them. It is not objective reality which serves as a determinant of behavior but objective reality as it is perceived or assigned meaning by the individual. In contrast, there are theoretical positions that assume a firm theory of behavior can never be built on subjective report or the complicated inferences needed to infer meaning from physical events. Such theories maintain that greater progress can be achieved in a manner in which the same objective event is experienced and focusing upon relations involving external and observable events.

12. Self concept: For certain theorists the most important single human attribute is the view or perception the individual has of himself. This self viewing process is often seen as the key to understanding the multitude of puzzling behavioral events displayed by any single person. There are other theories where no such concept is elaborated.

13. Cultural or group membership determinants: In some theories these facts are assigned a primary role in shaping and controlling behavior. In others the emphasis is almost exclusively upon determinants of behavior which operate independently of the society or cultural groups to which the individual is exposed. In general, theorists who are characterized by a heavy organismic emphasis tend to play down the role of group membership determinants while those who emphasize the field within which behavior occurs are more sympathetic to the role of socio-cultural or group membership determinants.

14. Interdisciplinary anchoring: Some personality theorists are relatively content to deal with behavioral phenomena in terms of psychological concepts and findings with little or no attention to what is going on in other disciplines. Others feel the psychological theorizing should lean heavily upon formulations and findings of other disciplines.

15. The number of motivational concepts: In some cases one or two such concepts are considered to lie at the base of all behavior. For other theories there is an extremely large number of hypothesized motives. There is also considerable difference between theories in how much attention is paid to primary (innate) motives as opposed to secondary (acquired) motives. Some theories provide a relatively detailed picture of the process whereby acquired motives develop; others show very little interest in the derivation or acquisition of motives.

As an indication of the diversity of theories, a review of the table of contents of a textbook of personality theories is instructive (Hall and Lindzey, 1957, p. xi). Chapter headings include: Freud's Psychoanalytic Theory, Jung's Analytic Theory, Social Psychological Theories,

Murray's Personology, Lewin's Field Theory, Allport's Psychology of the Individual, Organismic Theory, Sheldon's Constitutional Psychology, Factor Theories, Stimulus-Response Theory, Rogers' Self Theory, and Murphy's Bio-social Theory.

Because of the nature of the present task, guidance will be drawn from a number of theories. It is believed that such an approach will be found to contain a consistent orientation and will provide a framework in which a philosophy of management, a pattern of democratic leadership, and the means of learning these concepts will emerge in a consistent and meaningful manner.

The Perceptual Approach

Meaning of the perceptual approach

Combs and Snygg point out that their theory of personality is a perceptual approach, accepting that "people do not behave according to the facts as others see them. They behave according to the facts as they see them. What governs behavior from the point of view of the individual himself are his unique perceptions of himself and the world in which he lives, the meanings things have for him...at the instant of behaving, each person's actions seem to him to be the best and most effective acts he can perform under the circumstances. If, at the instant, he knew how to be-

have more effectively, he would do so" (Combs and Snygg, 1959, p. 17).

To an individual, his own behavior is always seen as being relevant, purposeful, and caused. It is to be remembered throughout this discussion that to understand the actions of others, and to affect the actions of others through training that it is "not the physical situation or the objective situation but the perceived situation, the situation as it appears to the behavior" (Combs and Snygg, p. 18).

Perceptual field

In relating to a theory of personality, Combs and Snygg anchor their discussion in terms of a "Perceptual Field" which is "the entire universe, including himself, as it is experienced by the individual at the instant of action" (1959, pp. 20-23). This field is seen as being (1) fluid, always changing; (2) stable because for the individual to live he must have an organized, predictable field; and (3) directed. "When we perceive clearly and sharply, behavior is correspondingly direct and efficient. When we perceive only vaguely, then behavior, too, is likely to be fuzzy and inaccurate" (1959, p. 27).

Phenomenal self

Characteristics.-The most important complex of differentiations in the individual's perceptual field is his

phenomenal self. What a person thinks and how he behaves are largely determined by the concepts he holds about himself and his abilities. This includes "not only a person's physical self but everything he experiences as 'me' at that instant" (p. 44). Characteristics of the phenomenal self are (pp. 126-130):

1. Clarity and centrality of self perceptions: "His perceived self seems to him to be truly himself. However, it is probably not possible for the individual ever to perceive the total organization of his self perceptions clearly at any one moment."
2. Consistency of the phenomenal self: "The fact that the phenomenal field is organized requires a high degree of consistency in the perceived aspects of self."
3. Stability of the phenomenal self: "A rapidly changing self would not provide the kind of stable frame of reference the individual needs in order to deal with life effectively and efficiently...and with which much praise and encouragement that such a shift in the self concept becomes possible....All perceptions which are meaningful to the individual derive their meaning from their relation to the phenomenal self already in existence."

The goal of man, as seen by Combs and Snygg, is not only to maintain himself but to actually enhance himself: "man seeks not merely the maintenance of a self but the development of an adequate self - a self capable of dealing effectively and efficiently with the exigencies of life, both now and in the future" (p. 45). The basic need of the individual, then, is the need for adequacy which is "that great driving, striving force in each of us by which we are continually seeking to make ourselves ever more adequate to

cope with life" (p. 46). "The particular concepts of the self held by a person seem to vary in at least two following important respects: (1) Some self perceptions appear to be much more central, or basically part, of us than others.... (2) Concepts of the self vary in sharpness or clarity..." (p. 124).

Development.—The development of the phenomenal self is seen as coming from the (Combs and Snygg, pp. 134-141):

1. Effect of family: The individual's earliest and most permanent self definitions are from the family. This is where the first basic concept of self is discovered and it guides his behavior all his life.

2. Effect of culture: The conceptual self is the product of the individual's experience, and since his experience almost always occurs in some cultural setting, it should be expected that the self has many elements in common with the individual's culture.

Therefore, the phenomenal self is "both product of the individual's experience and producer of what new experience he is capable of" (p. 146).

The adequate personality.—"Our unceasing striving for feelings of worth and value place all of us under the necessity for adjusting to something at every moment of our lives" (p. 237). "We need a concept which defines the best man can be rather than the average of what he has been." This is "seeking to become," a growth tendency, a self-consistency, a self realization, self actualization, and self fulfillment. "So long as life exists there is room and need

for further efforts." Those with adequate personalities are "people who feel generally capable of coping with life, who have developed phenomenal selves so defined as to be highly successful in the achievement of effective maintenance and enhancement of self. They see themselves in essentially positive ways and as a consequence are free and open to their experience, able to accept both themselves and others and to identify strongly with their fellow men. Adequate people feel strong enough and safe enough to cope with life openly and directly with a minimum of threat and fear. They see themselves and the world in which they live more often than not as exciting and challenging" (p. 239).

The self is partially defined in terms that extend beyond the confines of self. Therefore, "whatever the self is identified with must be maintained and enhanced....The stronger an individual's identification with others, the more certain it is that in seeking his own maintenance and enhancement he will be seeking that of others as well" (p. 247).

The following are the major behavioral characteristics that reflect the adequate personality (Combs and Snygg, pp. 251-255):

1. A great amount of efficient behavior: Because the individual feels adequate, there is no great necessity for self defense. Therefore, he has less need to distort his perception. He is able to behave more effectively and efficiently because he behaves in the light

of more and better data. He is more open to experience, therefore he has a wider phenomenal field on which to base his behavior. He is able to behave more often from choice than necessity. "Their perceptions are less complicated by extraneous events, personal goals and values, or the necessity for immediate self gratification. Because adequate persons feel fundamentally secure they are able to evaluate themselves more adequately." The adequate person is even more comfortable when under attack because he is able to risk himself and he does not have to have immediate answers to problems.

2. Spontaneity and creativity: "The reservoir of positive perceptions and the ability to accept new experiences provide a firm basis from which the adequate person can launch into new and different areas of experience. It is the secure people who can take chances....[They have] far less need to defend themselves and consequently are able to devote much greater time and attention to wider fields of experience....[They are] capable of experimenting, branching out, extending themselves to the limit."

3. Autonomy:: They have a "much higher degree of independence of the social and physical forces...respond more to inner wellsprings of understanding and motivation....This autonomy seems a direct outgrowth of the individual's openness to experience and trust in self." This becomes a building and supporting process as the individual "discovers in one fashion or another that his self is a highly trustworthy, effective instrument. As a result he comes increasingly to trust his perceptions of self and the world about him."

Because the adequate person finds little need to be defensive, he can perceive and behave toward other individuals with a minimum of hostility. The adequate person can accept others for what they are: "human beings with interesting individual quirks and characteristics, to be comprehended without fear, hatred, or distortion....Identification combined with a capacity for acceptance, gives adequate persons a deep and extensive feeling of being 'one

with' their fellow citizens. This feeling of oneness, or empathy, makes them capable of great understanding...makes it possible for adequate persons to understand their fellows and to communicate with depth and intensity of feeling... facilitates the achievement of a broad feeling of oneness with mankind in general" (p. 256).

Perception

As has been seen, one of the key elements related to the theory of Combs and Snygg is the emphasis on perception. "Whatever meanings the individual possesses are the direct outgrowth of the kinds of differentiations he has been able to make. Since no two people ever have identical perceptual fields, no two people can ever have identical meanings" (Combs and Snygg, p. 32).

Differentiated perceptions.-Combs and Snygg indicate some of the ways in which perceptions may be differentiated by the perceiver. Other things being equal, perceptions are likely to be (pp. 33-34):

1. Differentiated in terms of the nearness of the events experienced. As: a bc d ef g hi j.
2. Ordered by the differentiation of similarity in the events experienced. As:

o	.	o	.	o
o	.	o	.	o
o	.	o	.	o
3. Differentiated in terms of the intensity of the events experienced. As: loud vs. quiet; bright vs. dark.

4. Differentiated in terms of their "common fact."
That is, they may share a common direction, continuity,
or characteristic. As: .
.
.
.
.

5. Differentiated in terms of their novelty or contrast.
As those things which may be new or different to the
individual perceiver.

6. Differentiated in terms of sharing a common movement
or direction.

Search for meaning.--Each individual "is constantly searching his field for details and meanings which will better enable him to satisfy need. This process involves a continual change in the perceptual field by the constant rise of new characters into figure and the consequent lapse of other characters into ground...increased awareness of details and is, therefore, called differentiation. It is through differentiation that changes in the perceptual field and, hence, change in behavior occurs" (p. 28). Of extreme importance is that "out of all the things we might perceive, we perceive what is meaningful to us and what helps us to maintain the organization of our phenomenal field and, thus, to satisfy our fundamental need" (p. 54).

An individual is aware of those aspects of his physical self which are most immediately in his view or which has an immediate and important effect on his overall functions. Furthermore, "a great many of our perceptions about our bodily processes are vague because there is no real need to bring them into clear figure. Many of these

perceptions could be so clearly perceived as to be reportable if we wished to turn our attention to them....Many other perceptions we react to so quickly that we are unable to describe them, for their experience is so fleeting that it is impossible for us to grasp them" (Combs and Snygg, p. 61).

In addition, "other things being equal, what an individual is able to perceive in any situation will depend upon the length of time he has been exposed to the event" (p. 80). The process is ongoing because "most perceptions the individual makes are functions of previous perceptions" (p. 81). Stated in terms of field dynamics, "objects and events impinging upon our perceptual fields are perceived in the way which best 'fits' the field of the instant.... Since the perceptual field is always organized, what is perceived must be the product of this organization. If perception occurs at all, it must occur with meaning. Meaning is given to events by the relationship in the perceptual field in which they occur" (p. 85). "What is perceived is what we have learned¹ to perceive as a result of our past opportunities or experiences....[Therefore,] the opportunities for perceiving which the individual has had in the past must have a vital bearing upon possible further perceptions...new events are perceived in ways consistent with what we have previously learned to perceive" (p. 99).

McDonald agrees: "When a person meets a situation that is

¹Emphasis added.

unfamiliar to him, he apparently strives to reorganize his impressions of the situation in terms of his previous experience" (1956, p. 228).

Influences on perception.-Much the same approach is taken by Krech, Crutchfield, and Ballachey in their discussion of Cognition, defined as the way persons and things look to the individual perceiver. The individual sees the world in terms of his (1962, p. 18):

1. Physical and social environment.
2. Physiological structure.
3. Wants and goals.
4. Past experiences.

There tend to be common features in the world images for most people because of similar nervous systems and common wants, and most tend to cope with certain similar problems. Obviously, however, to the extent that they are not common between people - and it is accepted that they are not identical - opportunity for perception will not be identical.

Combs and Snygg point out some of the effects of physical organism on the perceptual field:

1. Possession of adequate sensory equipment.
2. Limitations of the central nervous system.
3. Limitations of general health which:
 - a. Reduce mobility.
 - b. Reduce interest.
 - c. Force attention under deprivation.

The major processes of reorganization of new material into the existing field are (McDonald, 1965, p. 230):

1. Leveling: irregularities of asymmetrical features are removed.
2. Sharpening: striking or unusual features are accentuated.
3. Assimilation: what is retained is changed in the direction of something more common and familiar to the perceiver.

Threat.—"Apparently any situation in which we are deeply involved tends to cause a narrowing of the perceptual field. This narrowing effect of perception when interest is high and widening of perceptions when we are relaxed.... Concentration on a limited part of the field under threat helps us to cope more effectively with emergency situations. But the same affect can also be a severe handicap to adjustment in our society" (Combs and Snygg, p. 169). "Perhaps most destructive to human personality is the restrictive effect upon perception brought about by the individual's experience of threat...a vast majority of the threats we experience in modern life are not physical but social.... Under threat, behavior becomes rigid and less fluid or adaptable to changing requirements. People under stress seem less able to cope with ambiguous or involved problems. They feel a need to have things definite and sure and in clear figures even though this may mean sacrificing accuracy....Perhaps most destructive to human personality is

the restrictive effect upon perception brought about by the individual's experience of threat" (p. 171).

Individuals seek to defend themselves against attack when they perceive they are being threatened. Such defense leads to "rigidity" which is a "concomitant of the individual's experience of threat and shows itself in decreased efficiency on intellectual tasks, an intolerance of ambiguous situation, and an inability to 'shift gears' appropriately in moving from one situation to another....[Rigidity is] closely associated with authoritarianism, dependency, and ethnocentrism. Apparently, threatened people have need to defend themselves by identification with strong institutions and figures, building up the prestige of their own groups and weakening that of others" (p. 173).

The amount of threat for any given experience which the individual will experience depends on (Combs and Snygg, pp. 175-177):

1. The importance of the threatened concept of self.
2. The immediacy of threat.
3. The clarity of perception of danger.
4. The degree of threat as a function of personal adequacy. People who see themselves as adequate are "likely to experience threat less strongly than those who feel inadequate. Threat is the product of an inadequate definition of the self."

For the individual, threats may have their source from the (Combs and Snygg, pp. 180-184):

1. Perception of the situation.
2. Unknown.
3. Inconsistent perceptions of self.
4. Multiple enhancing perceptions, that is, from the conflict in roles or need satisfaction.

Threat may influence the amount of learning the individual may accomplish. "What people learn under threat is likely to be narrowly focused on the nature of the threat to which they see themselves exposed and may even lead to seeing threats where they do not really exist" (Combs and Snygg, p. 189).

This discussion has directed attention to selection of a theory of personality compatible with the philosophy of management and the attitudes related to the equalitarian leader. Such a theory has been found in the perceptual approach of Combs and Snygg (1959), supported by conclusions of other theorists.

The following three chapters are to be concerned with identifying a theory of learning based on the theory of personality which will suggest the most effective manner to provide training in a management development program.

CHAPTER XV

LEARNING

Introduction

Bass and Vaughan suggest that learning "begins at birth and continues until death, in practically all areas of human life" (1965, p. 15). This is of great significance to those interested in bringing about new behavior in adult managers through training.

Snygg points out the need by the trainer for a theory of learning: "Professional work can be done only on the basis of theories of cause and effect which enable the professional worker to predict what will happen in a given case even though the circumstances and situations are completely new" (Snygg, 1966).

"Changes of behavior of the sort we call learning range from the simplest modifications of the simplest organisms, to the most impressive contributions of human intelligence. Learning is basic to the development of athletic prowess, of tastes in food and dress, and of the appreciation of art and music. It contributes to ethnic prejudice, to drug addition, to fear, and to pathological maladjustment. It produces the miser and the philanthropist, the bigot and the patriot, the coward and the hero.

In short, it influences our lives at every turn, accounting in part for the best and the worst of human beings and for the best and worst in each of us" (Kimble, 1961, p. 10).

As found for personality theories, learning theories also take several different approaches to explain learning. It is encouraging to recognize, however, that there is much consistent between theories and there is much documented research to support these consistencies. "Despite the sharp disagreement that still exists on the level of theory...there is now and always has been considerable agreement on the level of operations and empirical findings" (Bass and Vaughan, 1965, p. 16). "Psychology can tell us which methods are most likely to lead to which results, but the questions of what results are best...will depend on our education philosophy and our general life values"¹ (Morse and Wingo, 1962, p. 2).

At this point, it is of value to recognize the counsel provided by Bass and Vaughan in their work specifically written about the application of learning theory to management development. They suggest that it "would be foolhardy to attempt to communicate in this volume all that is known about learning. A more reasonable goal is to introduce the important concepts and principles which will provide...the means to understand better the learning and teaching process in his own particular situation" (1965, p. 14).

¹Emphasis added.

Definitions of Learning

Factual definitions

Two basic approaches can be made in defining the term learning. One approach concerns those definitions called "factual." Such definitions relate the phenomenon of learning to observable events in the physical world. In this case learning is defined as "a more or less permanent change in behavior which occurs as a result of practice" (Kimble, p. 2). "In such a statement, both the dependent variable (changes in behavior) and the independent variable (practice) are reasonably objective. The term learning itself has the status of an intervening, unobserved variable linking these two sets of observables" (Kimble, p. 11). There are four points about which these definitions are to be understood:

1. Changes in behavior, which are basic to the definition, are performance phenomena, whereas learning is a hypothetical process which underlies these changes. Depending upon other circumstances, performance may reflect the level of learning relatively accurately or inaccurately. McDonald cautions that one must be certain the desired response is performed before the assumption can be made that learning has occurred (1965, p. 185).
2. Unless some reference is made to the process of reinforcement, definitions of this sort fail to distinguish learning from extinction. Reinforcement, in one sense, refers to any of a set of conditions which, appropriately employed, favor learning. In the same sense, reinforcement is essential to learning. Unreinforced practice produces only fatigue or extinction.

3. Learning can take place when stimulation of the central nervous system is substituted for the usual external stimuli. Learning can occur in the absence of an overt motor response. This suggests that the critical event in practice is some unknown process in the central nervous system so that it is impossible to define learning as precisely as might be desired.

4. Definitions of learning in terms of behavioral changes occurring with practice are very close to the level of direct empirical observation.

Theoretical definitions

There is another group of learning theories called "theoretical." Various proponents offer either some hypothesis regarding the nature of learning or propose some general condition as theoretically essential for learning. Kimble finds this group to be of special interest because differences among them implicitly represent many of the issues on which theorists of learning are divided. Some of the issues involved are that (Kimble, p. 12):

1. Some of these theoretical definitions describe learning in the language of neurophysiology, suggesting that learning must be understood in such terms. Other definitions are completely without neurophysiological reference.

2. Some theoretical definitions describe the process in perceptual terms as a reorganization of the world of the learner. The learner sees among events (stimuli) relationships which had not previously existed for him. This approach has been called a stimulus-stimulus (S-S) or cognitive conception of learning. They are opposed to stimulus-response (S-R) definitions in which learning consists of the establishment of new associations between the stimuli and responses.

3. Theoretical definitions differ also with respect to their interpretation of the nature of reinforcement.

Some hold that learning occurs only when the response to be learned is followed by the satisfaction of some motive, while others maintain that all that is necessary for learning to occur is for some response to be elicited in a particular situation or for the situation to be perceived in a new way.

Kimble points out that although there is much difference in opinion about what is learning and how it occurs, "there is at least one point of agreement among all students of learning process, namely, that learning is a very pervasive phenomenon, occurring in all of the important aspects of human life" (p. 13).

Types of Learning

Classical conditioning

There are two basic types of "simple learning." The first is Classical Conditioning. This is identified most quickly by those familiar with the work of Ivan Pavlov who conditioned dogs to salivate to the sound of a ringing bell. Classical Conditioning is defined as the "formation of an association between a conditioned stimulus (CS) and a response (R), through repeated presentation of the CS in a controlled relationship with an unconditioned stimulus (UCS) that originally elicits that response....There are virtually no limits on the stimuli and responses that may be conditioned; the only requirements are that the organism be able to discriminate the S and that it be capable of

performing the R....[In general,] when the conditioned stimulus is regularly followed by the unconditioned stimulus and unconditioned response, conditioned responses to the conditioned stimulus appear at greater strength and greater frequency as the paired stimulus is repeated. This pairing of the unconditioned stimulus with conditioned stimulus is reinforcing..." (Bass and Vaughan, pp. 21-21).

Instrumental conditioning

The second form of learning is Instrumental Conditioning defined as "the strengthening of a stimulus response associated by following the response with a reinforcing stimulus....[Behavior is] defined by the stimulus to which it leads rather than by the stimulus that elicits it, such a behavior leading to a reward" (Bass and Vaughan, p. 24).

Conditions for Learning

It is appropriate to look at some of the work of Dollard and Miller (Dollard and Miller, 1950; Miller and Dollard, 1941), considered "by far the most elegant and highly developed of all theories of learning" (Hall and Lindzey, 1957, p. 422). Most of their theory is concerned with specifying conditions under which habits are formed and are dissolved. Their approach is based on a modification

of Hull's (1952) concepts in which habit refers to learning. By definition, habit is a link or association between a stimulus (cue) and a response. Personality consists primarily of habits, their particular structure depending upon the unique events to which the individual has been exposed. As a result, current habits may be altered as a result of future experience.

Any response strength is a result of habit times drive (response strength = habit x drive). Therefore, if either habit or drive do not occur, response cannot occur.

Criticism

Hall and Lindzey have criticized the stimulus-response theories, including that of Dollard and Miller, on the grounds that too many of their conclusions are based on animal studies rather than on studies of human beings. They also believe the theories are too simple, that there is not an adequate definition of stimulus or response, and that their conclusions are made after the fact. It is to be recognized that much of the research in learning theories utilizes lower animals for experimental subjects. Bass and Vaughan defend this approach: "There are great advantages in this practice...[both in the] more precise control of the subjects and environmental stimuli, and in the relative ease and freedom with which both can be manipulated....[That human beings possess all the learning capacities found in

the lower animals] has been supported by verification of findings at the human level" (Bass and Vaughan, p. 19). Also, in support of the stimulus-response theories, Hall and Lindzey state: "In general, these theorists have a better sense of the nature and function of the theory in an empirical discipline than any other group of personality theorists...relative explicitness and formal adequacy of the theory....In many ways S-R theory has come to typify an experimental, objective approach to human behavior" (p. 460).

The conditions

Most of the theory of Dollard and Miller is concerned with specifying conditions under which habits (learning) is formed and dissolved. Learning theory is seen as a study of circumstances under which a response and a cue (stimulus) become connected. After learning has been completed, the response and the cue are bound together. "The learner must be driven to make the response and rewarded for having responded in the presence of the cue...in order to learn one must want something, notice something, do something, and get something...these factors are drive, cue, response and reward" (Miller and Dollard, 1941).

1. Drive: The dynamics of personality relate to the drives of the individual. A drive may be understood as a stimulus strong enough to impel the individual into activity. This energizes behavior, but by itself does not direct it. Any stimulus may become a drive if it reaches sufficient intensity. The two major drives are:

a. Primary (innate) drives: These drives have a small range and are mostly internal to the individual. They are usually linked to physiological processes and reduction of the drive stimulus. They are drives basic to the individual such as pain, hunger, thirst, and sex. Their importance in driving the individual to act depends upon their intensity. Such drives impel the individual to behave or respond in some manner until the stimulus is reduced or eliminated. Learning consists primarily of developing efficient means of reducing the drive stimulus.

b. Secondary (derived, acquired) drives: "These learned drives are acquired on the basis of primary drives, represent elaboration of them, and serve as a facade behind which the functions of the underlying innate drives are hidden" (Dollard and Miller, 1950, p. 31). Over time the secondary drive stimulus largely replaces the original function of the primary drive stimulus. "In the course of satisfying primary drives in a cultural setting, we all learn secondary or social motives. Once acquired, the social motives become the basis for further learning" (Bass and Vaughan, p. 43). These drives may differ between people: similar motives may be expressed in unlike behavior; unlike motives may be expressed in similar behavior; motives may appear in disguised form and a single act of behavior may express several different social motives.

2. Cue: This is a stimulus that guides the response of the organism (the individual). It directs or determines the exact nature of the response, and determines when he will respond, where he will respond, and which response he will make. Any quality of the stimulus which makes it distinctive may serve as a basis for a cue.

3. Response factors: Before a given response can be linked to a given cue, the response must occur. In a given situation, certain responses more likely appear from an initial hierarchy of response hierarchies. These can be either an innate hierarchy or a derived hierarchy of responses.

4. Reinforcement (reward): It is assumed a reward cannot take place unless the drive stimulus are operating. There is always a reduction or lowering of the drive stimulus in the process of rewarding. Unless

there is an outside factor to increase the strength of the drive stimulus, successive rewards will eventually decrease the strength of the drive stimulus. It is assumed by Dollard and Miller that learning takes place only when the drive is decreased, but it is not necessary to accept this conclusion to accept their theory. If a person's old responses are adequate to decrease all of his drive tensions, there is no reason seen by him to produce new responses, therefore, his behavior will remain unchanged. "Once we have learned through experimentation and observation those things which are reinforcing to the organism, we are able to shape the organism's behavior by reinforcing (strengthening) the responses that we desire...learning acquired without the awareness of the organism is typically of a more lasting nature and much more difficult to unlearn or to change" (Bass and Vaughan, p. 16).

Learning processes

There are other concepts that contribute to an understanding of what occurs in learning. Some of the more significant are (Kimble, 1961, pp. 477-485):

Extinction: Habits cease or are weakened with the absence of reward or reinforcement. The stronger the habit, the more repetitions without reward are necessary to lead to extinction of the habit. Extinction tends to be gradual; a person tends not to give up a habit immediately.

Spontaneous recovery: There is a tendency for a habit which has been extinguished to reinstate itself after a period of time without additional reinforcement.

Generalization: Habits learned in one situation tend to be transferred to other situations. The more similar the cues to the original, the stronger is the tendency to generalize.

Discrimination: The more distinctive are two cues, the easier it is to discriminate between them.

Gradient of reinforcement: Responses occurring immediately before a reinforcement are learned more rapidly or become more strongly associated with the cue than responses occurring further from the reinforcement.

Reactive inhibition: As an individual practices a given response, an inhibition builds up against continued responding. This is fatigue. "During training, knowledge of results, rewards, and other reinforcements counteract this effect so that learning may be accomplished....Provision must be made for reinforcing on the job what has been learned during training, if forgetting is to be minimized" (Bass and Vaughan, p. 66).

Retroactive inhibition: New learning interferes with the recall of previous learning. Up to a point, the more similar the new and old learning, the more interference there tends to be.

Proactive inhibition: Old learning interferes with the retention of new learning.

Mediating responses

Learning for human beings becomes more complex but more efficient due to the effect of some form of mediating response, defined as a response "that occurs between the perception of the environmental stimulus and the actual performance of the instrumental act" (Bass and Vaughan, p. 33). It is more complex than the lower level stimulus-response learned behavior, and adds an additional element. The sequence is: Stimulus-Mediating Response-Instrumental Response. This is of considerable importance because "there may be a considerable lapse of time between the original stimulus and the final instrumental response. During this interval, mediating responses are occurring... the individual is thinking, reasoning, or engaging in problem solving. Mediating responses, then are frequently verbal although they may be emotional and physical also....

Words stand for objects or stimuli...we are able to transport environments or fashion hypothetical circumstances to which people can respond in a meaningful, reasonable manner" (Bass and Vaughan, pp. 33-34).

Transfer of learning

As will be recognized from the concepts presented above, the transfer of training from one situation to another may be positive, negative, or neutral. Transfer of learning is defined in terms of "whether or not learning in one situation will facilitate learning (and therefore performance) in subsequent similar situations" (Bass and Vaughan, p. 39). Bass and Vaughan suggest two theories related to the problem of transfer. One is in terms of "identical elements": "positive transfer will occur only if identical elements are present in the two situations." The second theory is seen by the authors to offer more promise; there is a transfer of learning through "principles." This theory states that positive transfer of learning results from the application of principles learned in past specific situations and having sufficient generality to cover a class of stimuli. "The beauty of this theory is that it places a much lighter burden on the specific learning circumstances....On-the-job training is no longer a central issue. The primary form now becomes the creation of circumstances...which will best facilitate the learning of appropriate principles and

training the trainees to be perceptually sensitive and discriminatory of their environment so that they can skillfully apply their newly acquired principles in novel situations" (Bass and Vaughan, p. 40).

Reinforcement

It has been found that, in general, "the reinforcement should be given immediately following the response in order for it to have the maximum effect." There is also the general, tentative conclusion indicating "the greater the amount of reinforcement, the greater the strength of the response...[but] it does not seem practical at this time to formulate principles with any degree of generality regarding this variable" (Bass and Vaughan, p. 26).

It is accepted that "intermittent or partial reinforcement [rewarding the learner after some fraction of correct responses] is more resistant to extinction than 100 per cent reinforcement [rewarding the learner after every trial]" (Bass and Vaughan, p. 25). This is seen as being of value to both the manager and teacher because it is probably physically impossible to reward the performer or learner on every correct response. This also creates problems: "The very enduring effects of partial reinforcement, then, are a great boon in sustaining desirable behavior, but a thorn in the side in the elimination of undesirable behavior" (Bass and Vaughan, p. 25). "Anyone

who is involved in the training and management of other persons has to make decisions about what motives to rely upon. He usually has access...to the relevant rewards and punishments in the situation; and his success in training will depend in large part on his skill in using them to encourage the learning he wishes with a minimum of undesirable by-products....Whenever possible, the trainer should offer goals to the learner which have intrinsic [goal's achievement is naturally and inevitably reinforcing] rather than extrinsic [achievement is arbitrarily or artificially related to the task] value....However, it is not possible to rely on intrinsic motivation in all learning situations.... The typical learning situation is likely to involve both intrinsic and extrinsic rewards" (Bass and Vaughan, p. 48). The extrinsic can become intrinsically rewarding if it can be made interesting, rewarding, or useful. Intrinsically rewarding experiences can be developed by:

1. Stressing the future utility or value of the activity or material to be learned.
 - a. Use problems which the trainee is likely to face on the job.
 - b. Create conditions which will increase the probability of the trainee's discovery of the future value.
2. Providing feedback during the learning.
 - a. Show progress.
 - b. Use subgoals as reinforcement.

3. Relate the learning activity to interesting, meaningful materials studied outside the training program.
4. Maintain suspense as to conclusions until all relevant facts have been considered.

Most writers agree that when it comes to a choice between reward and punishment, reward is preferable, although either is better than ignoring the trainee. Generally, punishment is bad because (Bass and Vaughan, p. 49):

1. Results are not as predictable as with rewards. Punishment alone gives the learner no indication of the correct response. It may result in anxiety and emotional upset.
2. It is less permanent than reward. It tends to be largely emotional and temporary. There tends to be no real effect on what is learned.
3. Under some conditions, it tends to fixate behavior rather than diminish it because undue attention is focused on the wrong response.
4. It is frequently accompanied by unfortunate by-products. The trainee may develop negative attitudes to the instructor and the activity being taught. Also, in punishing there is always the danger of injustice.

Failure itself is a form of punishment, while success is a form of reward. "This suggests, then, that emphasis be placed on creating learning situations in which trainees experience as much success and as little failure as possible. The task should be difficult enough to be challenging but not so difficult that most trainees cannot successfully complete it" (Bass and Vaughan, p. 51). The training program should therefore be scheduled in steps of progressive difficulty.

"Accurate feedback furnishes information by means of which mistakes can be corrected and performance improved.... The knowledge of a correct response is reinforcing and strengthens the preceding behavior, while knowledge of incorrect responses is not reinforcing and causes the preceding behavior to extinguish....The speed of feedback is equally as important...our perception of stimuli determines what we learn and, therefore, ultimately our behavior" (Bass and Vaughan, p. 29).

Environmental Influences of Learning

The rate of learning "will vary according to the specific schedule of practice or experience, the manner in which material is presented, the extent to which guidance is given, the nature of the material itself, and the state of readiness of the learner. These are, with the exception of the last one, environmental influences which may be modified and controlled by the person charged with teaching..." (Bass and Vaughan, p. 55).

Practice

Massed-distributed practice.--Studies involving motor skills have consistently shown a definite superiority for distributed practice [over massed practice], but the finding for verbal learning and other complex learning studies are not so clear cut....With some kinds of very difficult and

complex tasks there may be an advantage in a varied attack, such as a few massed practice sessions at first, followed by briefer practice sessions with more frequent rest intervals...massing may be more effective than spacing when rest periods are not of the appropriate length and frequency" (Bass and Vaughan, p. 59).

The authors suggest guide lines for massed versus distributed practice (Bass and Vaughan, p. 60):

1. Generally, greater learning occurs when rest intervals are shorter early in training and longer later in training. This tends to be better than constant rest intervals throughout training.
2. The less meaningful the material to be learned, and the greater the difficulty and amount, the more will distributed practice be superior to massed practice. With material that is short, simple, and meaningful, massed practice will be superior.
3. Less capable, less experienced trainees will benefit more from distributed practice. Talented, experienced trainees may find moderate massing preferable.
4. Material learned by distributed practice will be retained longer than material learned by massed practice.

In conclusion, the authors suggest that the advantages of spaced practice generally outweigh its disadvantages.

Whole-part method.-As yet, "no final statement can be made...as to whether it is more efficient to practice with all the material to be learned (whole method) or to learn one part before beginning practice on another (part

method). Under most conditions a modified part-whole approach is likely to prove superior. Thus, in the early stages the more difficult parts of the task should receive more practice than the easier parts; but if the whole task is eventually to be performed, then it should be practiced as a whole during the later stages of learning" (Bass and Vaughan, p. 60). The authors conclude that the whole method is likely to be superior when:

1. Intelligence of the learner is high.
2. Practice is distributed rather than massed.
3. Material to be learned is meaningful, unified, or short.

The authors conclude that the advantages of the whole method increases with practice.

Guidance

"Guidance - showing the correct answer or way of behaving, or forcing the learner to make only the correct response - may increase or decrease the rate and amount of learning, depending on (1) the point at which guidance is introduced in the course of learning; (2) how much the learner is guided" (Bass and Vaughan, p. 60). "In general, a small amount of guidance early in practice seems to be most conducive to learning. In specific instances the amount of guidance desired will depend upon the nature of the task or skill to be learned....[For] learning many

complex skills, errors often provide the learner with more information than correct responses...provided the errors are not severely punishing....Again, errors are inevitable in the execution or performance of many skills...if the learner is not allowed to make mistakes in the acquisition of the skill, he is likely to be seriously flustered when guidance is removed and he proceeds to commit errors. If, however, it is known in advance that certain mistakes are of no informational value or are particularly punishing to the learner, it is clear that guidance should provide for the avoidance of these mistakes" (Bass and Vaughan, p. 61).

McDonald points out that students accept information more if they believe the person providing the information is an expert on the subject in question, when the speaker has prestige with the students, and when the speaker is regarded as being trustworthy. The use of authority, as a credible source, is one of the most common arguments used in attempting to prove a point, but it is not likely to produce drastic changes unless the person identifies with the communicator and unless the authority figure remains imaginatively present so that his influence on the communication is maintained. This method of persuasion, however, contradicts an educational objective that "the critical evaluation of information opinions, and principles in the light of evidence rather than on the basis of authority for the statement" (McDonald, p. 349).

Logical argument based on careful presentation of factual evidence is "more effective than emotional affect in producing attitude change....Threats, warnings, and vivid descriptions of evil consequences to follow have comparatively little effect in producing desired long term attitude change" (McDonald, p. 352).

Recall (self recitation)

The value of recall is seen as (Bass and Vaughan, p. 61):

1. Furnishing the learner with progressive knowledge of results, promoting early elimination of the wrong responses.
2. Enabling the learner to distribute his time and energy more effectively because it focuses his efforts on what he does not know.
3. Forcing the learner to define and select for himself what it is he wishes to remember. It promotes understanding to the extent it increases the tendency to group common elements and search for principles and relationships.
4. Demanding more active participation and helping sustain attention and motivation.
5. Providing practice in a form that will likely be demanded of him later on.

Forms of Learning

Motor learning

Motor learning "typically involves learning more than one identifiable act, with the order of learning commonly

fixed by the demands of the situation" (Bass and Vaughan, p. 62). They involve skills in which muscular movement is prominent, but are under sensory control. This type of learning can be provided by: verbal instruction, the equipment itself, replicas, training aids, audio-visual materials, demonstrations, etc.

The main effect should be to encourage the learner to organize meaningfully what is to be learned. This provides the learner with an opportunity to (1) become familiar with the equipment, material, and surroundings; (2) demonstrate with a minimum of verbal instruction; (3) practice; and (4) have adequate guidance and feedback.

Rote learning

Rote learning is the "acquisition of associations between words, symbols, objects or events, accomplished in an arbitrary manner where little or no meaningful connection can be made between the associations" (Bass and Vaughan, p. 62). Such material is learned most effectively by (1) distributed practice and the modified part-whole method; (2) having accurate, immediate feedback to correct errors; (3) repetitive practice for overlearning; and (4) creating progressive learning situations in which trainees use the rote material so that gradually it will be associated with a meaningful content.

Idea learning

"The learning of ideas involves the acquisition of meaningful associations. Compared with rote learning, it is easier and more economical, and a more pleasant experience.... Ideas, once understood, are much more resistant to extinction than are the products of rote learning; consequently, their effects are cumulative and serve to facilitate subsequent learning. The process of discovery becomes especially significant in the acquisition of ideas....To facilitate the learning of ideas, active participation in the learning process is encouraged, permitting the trainee to explore a situation and eventually to discover for himself the principles or relationships operating in the situation. This discovery or understanding may take the form, sometimes dramatically, of sudden insight. Or it may be achieved when, by a series of successive approximations, trials and errors, false starts, and self evaluations, trainees (guided by instructor and instructional materials) gradually uncover common elements, principles, or trends" (Bass and Vaughan, p. 63). The authors add that much of the "current human relations training" follows this basic approach. The learning of ideas is most basic of the three forms of learning in providing change in the learner's attitudes and behavior.

Motivation and Learning

Need for motivation

Motivation is related to goal seeking behavior for need satisfaction. "Without motivation there would be no learning - in fact, no activity. Any circumstance designed to encourage learning must provide for motivation as well" (Bass and Vaughan, p. 43). Every instructional strategy must include some kind of motivational strategy, which is seen as being "some plan for engaging the learner's interest and attention, so that he will expend the effort necessary to learn....The first strategy is an arousal strategy. It is designed to activate the learner, to focus his attention, to stimulate his curiosity. The psychological principle exemplified in his strategy is that changes in stimulation are arousing and sensations associated with arousal are motivating. The second strategy...exemplifies a conditioning conception of how interests are learned. The event, lesson, reading, discussion that we want the learner to be interested in is associated with things he is known to be interested in" (McDonald, p. 144).

Amount of motivation

Experimental evidence suggest that "with very simple tasks, learning is enhanced by conditions of high motivation; but that with complex tasks, the most effective learning

condition is one of low motivation. Moreover, when the motivation of the learner is raised artificially (as by threat of failure) in the face of a complex task, there often occurs irrelevant learning not under the control of the instructor, such as learning to worry" (Bass and Vaughan, p. 52).

A goal which the individual thinks he has a chance to achieve is called his level of aspiration. The precise nature of the goal is determined by the individual's past experiences of success and failure in the situation. "If the task is too easy, then its completion will not be experienced as success...if the task is too difficult, then inability to achieve it will not be experienced as failure.... Success and failure experiences, then, fall in the in-between range....[When left on our own] we tend to select activities in which we stand a chance to be successful enough to increase our self esteem" (Bass and Vaughan, p. 53).

Maintaining motivation

"The ultimate mastery of a complex task may be months, even years, away from the beginning trainee and may well involve important elements which are of little interest to him. When the long-term goals appear so far away, it is often difficult to arouse and maintain behavior directed squarely at the long-term goals. In such cases, successive subgoals relevant to the ultimate goals of job success

provide experiences of immediate success and, at the same time, develop and reinforce attitudes toward the ultimate goals in line with the basic objectives of training....While progressive goal setting may be successfully accomplished by management alone, it will probably be most successful when the trainee is involved in setting his own subgoals" (Bass and Vaughan, p. 51).

Learning Curves

Form of the curves

The shape of the learning curve indicates the extent to which the rate of learning increases or decreases with practice. Bass and Vaughan discuss forms that learning may take (pp. 55-57):

1. Negative accelerated curves (Figure 15-1a): This form is typical when the material to be learned is relatively easy or uncomplicated, where the trainee has had previous training which allows him to organize the new material meaningfully and rapidly, and when the trainee is highly motivated at first and then gradually loses interest.
2. Positive accelerated curves (Figure 15-1b): This form occurs when learning is slow at first, then increases. This typically occurs when the material is difficult or complex, when the trainee lacks the necessary background or aptitude, or where motivation is low at first but increases as mastery of material approaches optimum. (The S-curve shown is believed by some to be the ultimate form which all learning curves will take.)

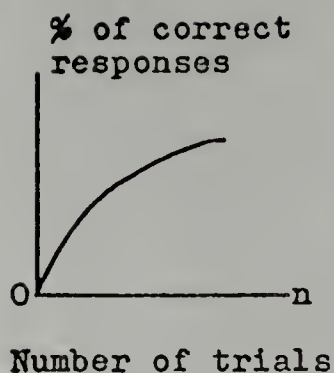


Fig. 15-1a.-Learning curves of negative accelerated curves.

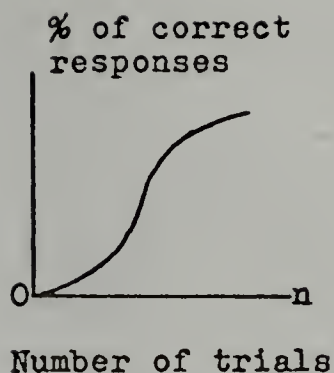


Fig. 15-1b.-Learning curves of positive accelerated curves.

The plateau, seen in the second curve, is common to many learning situations. It identifies a period following learning but prior to complete mastery in which no learning appears to take place. In a lengthy training program it "would not be uncommon" for trainees to experience many such plateaus. Bass and Vaughan suggest two methods to decrease the effect of plateaus (p. 57): (1) if the material is of several parts, it may be best to learn all parts together. The initial learning may be slower, but the total learning situation may be more rapid; (2) if the plateaus are from a lag in motivation, extra incentives may be introduced.

Forgetting

"In much verbal learning, the course of forgetting follows one kind of pattern: a rapid drop-off in retention

immediately after learning, followed by a gradual tapering off. In specific instances, however, there are wide variations in this pattern, depending on the type of material or skill learned and the circumstances of learning" (Bass and Vaughan, p. 65).

"The teacher, in arranging learning sessions, should take into account the length of time required to complete the pattern of responses and adjust the number of trials and time between trials in order to maximize performance over a period of time. If the teacher notices that performance begins to drop off after a series of trials, he can hypothesize that because he is not allowing enough times between trials, the effects of fatigue and boredom have produced lower performance. If a skill is to be developed to a high level, the teacher should also provide practice sessions that are frequent enough to prevent the decrement in performance from becoming too great between sessions" (McDonald, p. 412).

CHAPTER XVI

LEARNING, BEHAVIOR, AND PERSONALITY

Behavior and Learning

Effect of needs

"Any understanding of human behavior must be based upon some knowledge of what people are trying to accomplish when they behave or misbehave...people are motivated by a vast number of needs....Behavior seems characterized by an almost unlimited number of motives, some of which may be quite antagonistic to one another" (Combs and Snygg, p. 37). "When people seem to us to be unmotivated, it is not because they are really so, but because we don't understand their goals....People are always trying as best they can to be adequate. Thus, the problem of changing behavior is not one of motivating people but of helping them to perceive differently....[Therefore,] to change behavior it is necessary to help people change the way they see themselves and the world they live in. When people see differently they will behave differently" (Combs and Snygg, pp. 57-58).

Effect of culture

Combs and Snygg see social demands as being far more frequent and pressing in daily life than are physical demands

of the individual. "No one is ever free from the effect of culture upon perceiving....The individual perceptions tend to become more and more like the perceptions of the important people in his world" (Combs and Snygg, p. 96). The very act of living, is seen by Krech, Crutchfield and Ballachey (p. 26), aids in the change itself because the specific cues to which the individual gives his attention and which determine his cognitive systems are largely determined by his culture.

Role learning

"Learning some roles requires abandoning others. A student may give up one role and learn another one...because he thinks that the new role will produce more need satisfaction....The concepts, attitudes, and specific performance associated with role behavior are learned in the same way that other concept, attitude, or performance is learned.... Because a role involves many concepts, attitudes, and actions, the learning of a role is a complex and frequently time-consuming process. Some information about roles is acquired incidentally, and some of it is taught formally. However, it is usually communicated through socializing agents who have themselves acquired relevant role behavior...the mere presence of a potential model does not guarantee that the person will take on the behavior of that model. He will do so only if he wants to learn the role, perceives the model

as a representative of it, and identifies with the model" (McDonald, pp. 425-426). "The development of a personality requires the learning of roles. The process of learning roles may be conceptualized as a series of development tasks which must be accomplished if the individual is to adjust to his society" (McDonald, p. 430).

Perception and Learning

Model of learning

The "cognitive field model of learning" has been provided by Snygg (1966). The steps to learning are:

1. The individual has an awareness of a need for greater "organization," such as a feeling of hunger or anxiety.
2. The individual searches his phenomenal field for some means of achieving organization, such as food when hungry or self assurance when possessed by anxiety. This or some means of approaching it is differentiated in some degree as the goal.
3. Simultaneously, a search is made of the field for a means of reaching or achieving the goal. The tentative path is differentiated into sub-paths.
4. As the perception of the problem is made, an act is begun which is believed by the individual to be appropriate to his perception.
5. The individual makes a perception of the results of his act. If the act or series of acts achieves the goal, no significant reorganization or change of the field is necessary and, as a consequence, nothing is learned.
6. If the results are not as expected or hoped, however, the situation is reexamined. This results in a new perception of the problem.

7. This new and more highly differentiated perception of the situation results in new and, hopefully, more appropriate acts.
8. The individual once again makes a perception of the results. If the new results are those sought, the search-act-evaluation process in the problem area is terminated and the individual shifts his attention to other problems.
9. If the desired result has not been attained, the search-act-evaluation process goes on until a new perception of the problem makes possible the attainment of the goal or until the learner differentiates another goal as being a more practical way of satisfying his need.

Goal striving

It is important to recognize that "certain aspects of the perceptual field become more or less clearly differentiated from the remainder of the field because they satisfy need" (Combs and Snygg, p. 102). "It is probable that very little human behavior is the result of direct movement toward goals; rather it moves through a series of subgoals to reach its major goal of need satisfaction" (Combs and Snygg, p. 104). In the process, the individual develops techniques to satisfy his needs. The individual's values must be understood to understand his behavior. Over time, goals may become differentiated and serve to aid the individual to the satisfaction of need, and they, in turn, tend to persist as part of the field organization of the individual.

"In the course of development, everyone comes to differentiate both positive and negative techniques and to utilize or avoid such techniques, depending on whether or not they lead to the satisfaction of his basic need".

(Combs and Snygg, p. 113). Techniques utilized by the individual are divided roughly into three major categories: (1) mastery over people or things; (2) identification with a powerful individual or membership in a potent group; and (3) physical change in the body organization (Combs and Snygg, p. 114).

Perception and change

"It is only when events are perceived as having some important relationship to self that they are likely to produce change in the individual's behavior....Generally speaking, the more closely related an experience is perceived to the phenomenal self, the greater will be its effect upon behavior....It is the fundamental problem of learning and explains why it is that so much of our schooling had had so little effect upon us....To be effective, education must find ways of helping people discover the personal meaning of events for them....It is only when events are perceived as having some relationship to self that behavior is changed as a result of perceiving." It is interesting, but not surprising to find at this point, that when "individuals are confronted with events inconsistent

with their self structure they may seek consistency of perception by doing violence 'to the facts" (Combs and Snygg, p. 149). Krech, Crutchfield, and Ballachey observe that cognitions develop into systems in accordance with the principles of learning and stimulus organization (1962, p. 25). Influences on a change in self include (p. 163):

1. The place of the new concept in the individual's present self organization.
2. The relation of the new concept to the individual's basic need.
3. The clarity of the experience of the new perception.

"The effectiveness of behavior is a direct outgrowth of the differentiations the behavior can make in his perceptual field at the moment he is called upon to act. People cannot behave in terms of perceptions they don't have....Any event which seems to the individual to be related to the satisfactions of need will have a strong effect upon the rest of the perceptual field. This change in organization normally has the effect of increasing the availability of perception related to the need. What affects need satisfaction compels attention and cannot be overlooked" (Combs and Snygg, p. 166).

Learning is defined by Combs and Snygg as "the process by which an individual is able to change his behavior, usually in some more constructive fashion. Such changes are

brought about by differentiation within the perceptual field."² Learning is seen as a function of need, therefore, as long as people are striving for satisfaction of need, learning is always possible. Further: "What any individual learns (differentiates) in a given situation is determined by the need of the moment" (Combs and Snygg, p. 193).

"People become adequate; they are not born that way....What people have to learn, they can be taught" (ASCD, p. 97). A positive self is teachable; the self is learned.

Perception of need

To increase the speed and accuracy of learning there must be an increase in the strength of the need, but "if the individual's need is too great, his awareness of the need may become so acute and detailed that all other parts of the perceptual field fall into ground and further differentiation of those parts ceases" (Combs and Snygg, p. 195).

Learning may occur at any level of awareness as long as some differentiation is possible. Attempts to understand and modify human behavior are immensely complicated by the fact that no two persons organize their perceptions in exactly the same way. Conditions that cause one person to attend to

²(Note that this definition, by stating that learning is the "process by which an individual is able to change," is a "theoretical definition," as contrasted to a "factual definition" which identifies learning as an actual "change in behavior." This provides no difficulty to the present discussion, because interest, of necessity, must be related to what is required for learning (change), but is of little practical value unless the actual change in behavior advocated does occur.)

stimuli different from another are interests or sets which may be habitual or momentary. Much of the selectivity in perception is "present before the stimuli appear. We prepare or set ourselves to perceive and to act upon stimuli which we expect to appear....While it allows us to focus our attention and sort our irrelevant stimuli, it often causes us to distort our perceptions" (Bass and Vaughan, p. 30).

Differentiation

"Events perceived as having little relationship to self have little effect upon behavior, while events perceived as being closely related to self affect behavior in marked degree....The pertinence of applicability of learning will be a function of the perceived relationship to self....There is a difference between knowing and behaving....Although concepts have been clearly perceived, the further differentiation of the relationship of these concepts to the individual's own need has not been perceived and as a consequence the individual does not behave in terms of what he 'knows'" (Combs and Snygg, p. 196). A "good" student can learn required material but he "keeps it from entering and changing his view of reality by dividing his field into two parts: 'reality' and 'school,' the latter having nothing to do with real life" (Snygg, 1966).

"The major determinant of the kind and degree of differentiation which is immediately possible in any situation is, of course, the character of the existing perceptual field. A limiting factor, therefore, is always the degree of differentiation already attained....The process of differentiation is quite regular and proceeds step by step, and it is futile to attempt to teach a pupil any detail for which he is not ready" (Combs and Snygg, p. 197). This differentiation is, however, a continuing process: "Human need is insatiable and, once satisfied by events differentiated only a moment ago, continues the process of differentiation in ever new and more productive directions. Events learned to the point where they are differentiated in clear figure soon fade into the ground of the perceptual field, being replaced in figure by some new or more extensive differentiation....The apparently automatic behavior as a result of differentiations no longer in clear figure is called, in external approaches in psychology, 'habit.' Although such behaviors seem automatic, it should not be assumed that they ever occur without meaning or without some degree of awareness. Behavior is always a function of the total field and never exists without meaning" (Combs and Snygg, pp. 198-199).

"Behaviors operating from low-level perception often continue to persist until they are somehow brought into

clear figure where they can be dealt with in a new fashion" (Combs and Snygg, p. 200).

Remembering

Remembering has been defined by Combs and Snygg as "functions of the ability of the individual to recall into figure events he has previously differentiated. As products of perception, remembering and forgetting will be affected, just as learning is, by those factors which control the process of perceiving...." "Associations, whether they are meaningful or not, depend heavily upon memory. An individual must retain an association if he is to use it" (McDonald, p. 227). From what has been said, it is obvious that what can be remembered can only be that which was once perceived. Also, "what is likely to be remembered most easily will be that which the individual has experienced frequently, with greatest intensity, or most recently.... What is remembered is always a function of the individual's basic need....We are not always able to remember what we need but we do need what we remember" (Combs and Snygg, p. 200).

Change Through Learning

Guidelines for change

The "effect of the physical organism upon perception is capable of variation within certain narrow limits,

although, to be sure, it cannot be drastically shifted. The remainder of the factors in our list, however, seems open to fairly wide degrees of change....Although it is well within the realm of possibility that the perceptual field and, hence, the capacity for more intelligent behavior, may be changed, it should not be assumed that this is either easy or quick....Perceptions of long standing do not change rapidly" (Combs and Snygg, p. 221). To cause a change - to cause learning to occur - it is necessary to (p. 223):

1. Provide better physical conditions for the change.
2. Provide experiences that will make adequate perceptions possible.
3. Help the individual to satisfy his most pressing needs and goals to help release his perceptions.
4. Direct energy to the matter of creating new goals and values in the individual to develop rich and varied perceptions; this approach is more effective than lecturing, exhorting, or coercing.
5. Provide experiences that build adequate concepts of self - from "I can't" to "I can." Helping individuals "to perceive themselves as adequate would seem a most important factor to consider in the release of the individual to perceive more adequately."

Personal requirements for change

Wants and goals of an individual continuously develop and change. Cognitive change is seen as being governed in part by characteristics of pre-existing cognitive systems. These characteristics include (Krech, Crutchfield, and Ballachey, p. 38):

1. Multiplexity: The number and variety of cognitions incorporated in one cognitive system.
2. Consonance: The differences in degree of congruity or incongruity of interrelated cognitions. "Other things being equal, simplex systems tend to be higher in consonance than multiplex systems."
3. Interconnectedness: The degree of isolation or interrelation between cognitions.

There is a need for balance in cognitive systems of the individual. Unbalanced cognitive systems tend to shift toward a state of balance so that all that the individual accepts is consistent with what he already "knows." "Often we are forced to pay attention to new facts, facts that seem not to fit in with our existing cognitions or that even contradict them. At times, this results in a fairly radical change of the whole system - a formerly consonant system may be thrown into disharmony and widespread readjustment may result. At other times, however, despite such contradictory facts, a relatively slight cognitive change seems to accommodate the new facts within the old system. We continue stubbornly to hold on to our major beliefs in the face of contradiction after contradiction" (Krech, Crutchfield, and Ballachey, p. 44).

Cognitive change is governed in part by (Krech, Crutchfield, and Ballachey, p. 46):

1. Intellectual ability: The more intelligent person is found to be better able to reorganize his cognitive systems, incorporate new information, and achieve insightful restructuring.

2. Tolerance of cognitive ambiguity and dissonance: The individual who is better able to accept information which does not fit his cognitive frame of reference is better able to survey and analyze without threat to all perceptions that attract his attention.

3. Closed mindedness: This is a general personality trait related to the ability to form new cognitive systems. This is related to authoritarianism. "The more closed the mind, the more cognitions are said to depend upon irrelevant wants and external authority."

Attitudes

Attitudes develop in the process of want satisfaction; favorable attitudes are created toward objects and people satisfying the individual's wants. Attitudes may be invalid, that is inconsistent with reality, if the individual does not have sufficient information. The interest in attitudes, related to behavior change (learning), is of paramount importance because behavior is a reflection of attitudes.

Attitude change

Success in modifying attitudes depends upon characteristics of the attitude system and the personality and group affiliations of the individual. The most important characteristics of attitudes related to their modifiability are (Krech, Crutchfield, and Ballachey, p. 216):

1. Extremeness.

2. Multiplexity: Simplex attitudes are easier to change in an incongruent direction; multiplex attitudes are easier to change in a congruent direction.

3. Consistency.
4. Interconnectedness.
5. Consonance of attitude cluster.
6. Strength and number of wants served.
7. Centrality of related values.

Attitudes are most easily changed when (Krech, Crutchfield, and Ballachey, p. 216):

1. The change is in a congruent rather than an incongruent direction.
2. The attitudes are extreme, multiplex, consistent, interconnected, consonant, want serving, and centrally valued.

Attitude changes are brought about through (Krech, Crutchfield, and Ballachey, p. 225):

1. Exposure to additional information.
2. Enforced modification of behavior toward the object.
3. Procedures which change personality.

The direction and degree of attitude change induced by additional information is a function of (Krech, Crutchfield, and Ballachey, pp. 226-238):

1. Situational factors:

- a. Group versus solitary listening: The individual tends to adjust his attitudes to the group of which he is a member; if the group is seen as not changing, the individual tends not to change; if the group changes in the direction of the new communication or experience, the individual tends to change also.

b. Commitment: The individual's attitude tends to change if required to make a commitment favoring change; the change is more likely to be permanent if the commitment is made orally before others than if made silently.

c. Group decision: If the group makes a commitment, each individual member of the group tends to comply.

2. Source of information (the communicator or communication):

a. Credibility.

b. Attractiveness.

c. Group affiliation: The "propagandist" needs to be "one of us."

3. Medium: Face-to-face communication tends to be most successful because it has flexibility.

4. Form and content of the information: "...attitude change should result from changes in expected satisfaction from the goals served by an attitude or from changes in the instrumental relations believed to exist between the attitude object and the goal."

a. The amount of change advocated: The larger the change advocated, the larger amount that tends to be obtained. However, the "greater the discrepancy between the stand advocated by the communicator and the position of the subject, the smaller the amount of change which will be produced....As a matter of fact, boomerang affects (changes in a direction opposite that advocated) may be expected to occur when there is a marked discrepancy...."

b. "...a two sided presentation was found to be more effective in inducing incongruent change; a one sided presentation was found to be more effective in producing congruent change."

c. When desired features are presented first and undesirable second, there tends to be greater agreement than in the reverse order.

The model of attitude acquisition used requires manipulation of the social conditions for learning (McDonald):

1. The social situation must be designed to elicit the desired behavior.
2. Response guidance must be provided.
3. The strategy must provide rewards for the desired attitudinal response.

Summary

Learning and behavior are to be considered as being effective only as they relate to a given situation. "A way of behaving which deals satisfactorily with one problem may be totally inappropriate for another. Therefore we cannot judge adequacy solely as the basis of the presence or absence of particular traits....[This] requires a high degree of sensitivity and openness to change when change is necessary....Assisting others to achieve adequacy, therefore by means of telling, exhorting, or 'teaching' people how they should behave ordinarily has little chance of success. What seems appropriate to do in a given circumstance is always dependent upon the individual's need and the state of his perceptual field at the moment....Mere knowledge of how adequate people behave is of little value to other people because it seems to have little relevance to their own peculiar needs and problems....[Furthermore,] change in behavior can only occur when some change has occurred in

how people perceive....When people can be helped to see differently, they will behave differently. If people can be helped to perceive themselves and the world they live in more adequately, they will behave more adequately as well" (Combs and Snygg, pp. 249-250).

The behavior and training of the individual cannot be perceived in isolation. Combs and Snygg believe that "it is necessary that people satisfy both their own and societies needs....Since he is dependent upon his society in large part for for his need satisfaction, he cannot operate in ways which would be destructive to it. When threats do occur for his society, he is capable of accepting and modifying himself accordingly" (pp. 258-259).

The Adequate Self

"Adequate people, like all others, learn who they are and what they are from the things that happen to them. What makes an adequate person seems to be the peculiar kind of experiences he has had" (Combs and Snygg, p. 261). Interest is to be directed toward developing experiences for the individual which will tend to make him more adequate. Such a goal appears to be an ideal for all learning.

Development of the adequate self

An adequate personality is most likely to be developed when (Combs and Snygg, p. 262):

1. Positive experiences of the self and the world are provided: Adequate persons "see themselves as people who are liked, wanted, acceptable, and able, living in a world with which they can cope....[The concepts] are the product of the experiences of the individual in his development." The questions which are to be recognized are: how can an individual feel he is liked unless someone likes him; how can he feel wanted unless someone wants him; how can he feel accepted unless someone accepts him; how can he feel able unless he has success?
2. The individual has capacity for acceptance: "... people can, indeed, learn to be more accepting as a result of being given the right kinds of opportunities... followed by an increased ability of the client to be accepting in his turn."
3. Identification is learned: "People can 'learn' to identify with wider groups of people. Experiences can be provided for them which make a high degree of identification possible."

Changes in self perception are likely to be gradual. "It takes values and purposes that encompass the dynamics of interaction, on a person to person basis or a person to group basis to produce the kind of initial experience that noticeably changes self perception" (ASCD, p. 103). An atmosphere for acceptance is developed by (ASCD, pp. 125-126):

1. Encouraging self revelation rather than self defense: A person can try for self revelation without humiliation if he is encouraged and helped to commit himself.
2. Giving a feeling of belonging: This is necessary for personal involvement and learning; individuals do not feel a responsibility to those who reject them.
3. Creating an impression that being different is good and desirable: The individual must be able to accept that differences can exist and that there is no one right answer. "Uniqueness, originality, even breaking with tradition and questioning the most strongly held

concepts of our society, must be permissible if [individuals] are to learn to look at themselves and others fearlessly and intelligently."

4. Encouraging the individual to trust his own organism: Give the individual the feeling that it is "all right to be me" and "my ideas can be looked at....This calls for situations which make it possible for students to depart from the rules and to determine action on the basis of trust in self."

5. Emphasizing the ongoing character of learning: The learner must appreciate the worth and contribution of each individual; each person's meanings, feelings, and ideas have value and pertinence.

6. Recognizing that acceptance requires the establishment of an atmosphere which is generally hopeful: It is important to give the individual the feeling that he can be more than he is, rather than a feeling that he must be more than he is. Emphasize "the feeling that he has something to bring to this business of education rather than the feeling that all of education means acquiring something from somewhere else for some unpredictable time in the future."

CHAPTER XVII

LEARNING AND MANAGEMENT TRAINING

Introduction

The preceding three chapters have served two major purposes: (1) to better understand the individual who is to be exposed to learning; and (2) to identify the requirements of and conditions for learning. The present chapter directs attention specifically to the learner and the learning environment with applications to a management development program.

Implications for Human Relations

Difficulties of applying the learning theory

"If it is true, as we have postulated, that behavior is a product of perception, then they become the basic data of human relations and the facts with which we must learn to deal. To regard the facts of human behavior in this way is likely to prove extremely distressing or difficult to some people...there are strong factors both in ourselves and our society that make this quite difficult to accept." This is difficult because (Combs and Snygg, p. 307):

1. We look to an objective world.

2. "Our own perceptions always have so strong a feeling of reality that it is easy to jump to the conclusion that they must be real to others as well.... It is hard to set one's own experience aside, yet it is difficult to see how effective human relationships can be built without a clear recognition of the personal character of perception."

3. The "widespread feeling in some quarters that the admission of human feelings, attitudes, and perceptions as behavioral data flirts with the mystical and runs the risk of being 'unscientific.'"

The meaning of the learning theory

It is to be remembered that perceptions are the material of which human relations are made. "If we believe that human behavior is alone a function of the forces exerted upon people, a philosophy of force and coercion naturally follows as the appropriate means of dealing with our fellows. Such force may be expressed as naked power. It may also be 'friendly' advice, reward for 'proper' behavior; or various more or less subtle forms of reward and punishment" (Combs and Snygg, p. 311). If, however, we believe that people are not effectively open to manipulation, but that man's perceptions arise within himself, then we cannot make people perceive. "Effective, satisfying human relationships can only be developed through helping ourselves and others to perceive more freely and accurately.... [This concept] calls for the development of understanding rather than manipulation; for freeing communication, in place of coercion; for stimulating mutual explorations and

discovery of goals and means, as opposed to servile dependence on an elite....[A] change in behavior cannot be brought about directly but only through the kinds of experiences people are exposed to....[The] emphasis in dealing with people is upon the creation of kinds of situation which facilitate or assist the process of perception change. [What is required, then, is] an approach to human relations which seeks change in behavior through change in perceiving rather than through a direct attack on behavior itself. It emphasizes in practice techniques of communication, persuasion, learning, and discovery rather than the employment of force, coercion, or various forms of manipulations" (p. 312).

Learning related to the philosophy of management

Combs and Snygg take a position similar to that found in the philosophy of management discussed in Part II: "The basic character of human need is essentially positive rather than negative. Given a decent break, the need of the individual will drive him toward essentially positive goals and values" (p. 320). "Negative acts may of course be produced by inadequate ways of perceiving. The problem of human relations becomes one of freeing people to perceive themselves and the world they live in in more adequate terms.... Where human dignity and integrity is respected and valued, when people are treated as though they were able, given assistance and help in their search for adequacy and con-

fronted with challenging tasks, creativity and spontaneity result" (p. 313).

Guidance for the manager.-As most writers found in the philosophy of management, Combs and Snygg relate much of their theory to the culture of the individual. "Our democratic credo holds that when men are free they learn to rule themselves....It is because men fundamentally seek adequacy that we can afford to trust them with freedom. When the credo fails, it is not because men's motivations are bad, but because we have not been successful in finding ways to truly set them free" (p. 320). Further: "A society is good to the degree that it enables its members and neighbors to live with health, security, self respect, and dignity. It is good to the degree to which it aids its members to the development of selves adequate to deal with the world that surrounds them....The culture of such a society must be dynamic and flexible rather than static, because the individual's need for the maintenance and enhancement of his phenomenal self can never be completely satisfied" (pp. 342-43).

Guidance for the trainer.-"In the complex interdependent world we live in each of us is increasingly dependent upon the intelligence and good will of an ever larger number of our fellow men...our society has grown more interrelated and cooperative....Modern society simply cannot exist without

a continuously increasing supply of more and more adequate people. The goal of education from society's viewpoint, then, is the production of adequate personalities, people who can be counted upon to behave effectively and efficiently and contribute freely to the welfare of all...the goal of education is intelligent behavior....Conditions change and any society which sets out to concentrate on securing a specific type of behavior from its citizens runs the risk of getting it under conditions where it is valueless or even undesirable¹...if we can be successful in this general aim, the specifics can be solved as we reach them" (Combs and Snygg, p. 365).

Guidance for the learner.-Rigid behavior brought about by narrow perceptions and a felt need for self defense is not the type of behavior desired for the most effective living. "Much of our adjustment to modern life requires not self defense, but self change. To live effectively in a technological, shifting, mobile society like ours requires of each of us the maximum of adaptability and resourcefulness to meet changing requirements. The achievement of a democratic way of life requires a free and open field of perceptions, untrammelled and unrestricted..." (Combs and Snygg, p. 173).

¹Emphasis added.

Approach to Change

Need for change

A need for change - a need for learning - is becoming more and more a necessity. "One cannot be truly adequate in a changing world without adapting to the changes going on about him. A static self concept existing in a moving world would soon be out of touch with the world about it. An adequate self must be stable but not rigid; it must be changing but not fluctuating" (Combs and Snygg, p. 157).

Process of change

"Many people seeking to produce changes in self quickly find themselves bogged down in a morass of self evaluation, self analysis, self criticism, and self judgment, which is seldom very helpful in producing change.... This kind of approach to self help turns attention on the self as an object, but whenever people behave, the self is not an object but a process. The factors affecting behavior...are not the objective facts but the perceptual facts. The more closely events are perceived to self, the less objective people are able to be....To accomplish some change in self, then, it is necessary for the individual to feel it is necessary and desirable to do so....The first step in achieving a field open to change is the feeling that it is an important, enhancing, and desirable goal to

accomplish" (Combs and Snygg, pp. 351-352). "Any given individual will differentiate from the field only that which helps him toward the satisfaction of need at the moment....He learns no more about anything than he finds necessary" (p. 368).

The Learning Situation

The philosophy of management and democratic leadership in learning

It is to be kept in mind that "democratic rather than autocratic atmospheres are basic to the teaching and learning of those values which are held by fully functioning people. Even though creating a democratic atmosphere is an ever-continuing process and there is no magic formula..." (ASCD).

Relating the learning situation to the applied situation

The learner can discover techniques and make differentiations which are most effective in securing their self enhancement in the class room situation without learning the most effective methods in the work situation for which they are being prepared. The class situation can best guarantee that the person will develop into a "nonthreatened, nonthreatening, and socially effective person by providing him with success experiences and a nonthreatening, accepting atmosphere" (Combs and Snygg, p. 369). There is a conflict

in the learning situation in that the individual is typically looking for means to satisfy his immediate goals and the purpose of the training is to provide him with guidance over a long period of time. The problem may not be available to be completely resolved; Combs and Snygg point out that the trainer cannot ignore the problems of the student entirely and concentrate solely on training for the future nor can he design educational practices entirely in terms of the individual's immediate needs (p. 370). McDonald adds that the trainer "must clarify the behavioral objectives of a strategy for inducing attitude acquisition. Otherwise, the students may adopt appropriate verbal behavior without the accompanying action behavior....The teacher should specify those actions that will characterize attitude, and from which others will infer that the person held the attitude" (p. 336).

Relating the learning situation to the learner

The problem for the trainer is further complicated because meanings cannot be fully verbalized in a way that will assure meaning for the trainee. The problem of communicating meanings "is so difficult that it is often much more practical to help students discover the meaning of objects and events by actual experience than to try to convey them verbally. Furthermore, the meanings are bound to differ from one person to another because the object or

event will play different roles in different fields" (Combs and Snygg, p. 372).

"To be really effective, education will have to accept the task of dealing with the whole phenomenal field of the individual, of producing changes in his perception of himself as well as in his perception of his environment...because of the organized and unified nature of the phenomenal field" (Combs and Snygg, p. 374).

The learning process

The class.-Bass and Vaughan describe "an ideal education process": "It does not direct and teach the learner in the traditional sense; rather, it stimulates and reacts to him. It provides him with ideal condition for self discovery and self teaching" (p. 28). "As individuals within the group begin to see themselves in positive ways and to share in group tasks, they, too, become facilitating. Facilitating, helping people tend to produce helping people. In a classroom the climate is one of acceptance and warmth, students may tend to help each other to grow - to become a process, that is, a person in movement from old 'me' to new 'me'....As students are accepted by the teacher as persons of dignity and worth, the individual moves toward acceptance of self, which is requisite to acceptance of others. And as peers accept each other, growth is further facilitated"

"...an individual is free to change his values only when he is free to hold them. When he is free to hold them

he is not forced to defend them. When he feels that his values are not condemned or categorized as 'bad,' he can then allow them to be explored (explored, not judged) by himself and by others. Out of exploration can come change and the development of new values based upon facts and upon new ways of seeing and perceiving" (ASCD, pp. 95-96).

"When classroom programs are expended to actually teach acceptance of self, opportunities are created for individuals to participate in a wide variety of activities... schedules are made flexible and do not limit the pursuit of the immediate study important to the individual" (ASCD, p. 136).

Combs and Snygg suggest a "partial list" of principles concerning the learning process (pp. 381-382):

1. In most class situations the chief motive of the individual's behavior and learning is the need for self esteem and a feeling of personal adequacy.
2. Activities and techniques which result in success and an increased feeling of self esteem will be repeated; those which result in failure or humiliation are avoided.
3. When confronted with a situation where old techniques for satisfying the need for self respect or security are not appropriate, the individual will, if ready, learn new techniques for mastering the situation or, if unready, will use or discover methods for escaping from it.
4. Any individual is ready to learn new techniques in situations which are not markedly different from situations he has already mastered. Unready for situations calling for solutions unlike those he has already used and mastered.

5. Attempts to teach when the students are not ready builds up attitudes of avoidance and interferes with later learning.

6. Habit is not the result of repetition, but the result of success.

7. Repetition is not a cause of learning, but repetition is sought because the individual wishing to solve the problem tends to be more effective with repetition.

8. Success is the degree to which the individual voluntarily uses desirable techniques in daily life outside the class. Attitudes acquired along with subject matter may be even more important than the subject matter itself.

9. How the subject is taught may be more important than what is taught because the learning of any skill or item of subject matter is accompanied by the formation of attitudes by the student toward the subject, the organization, the instructor, instructors in general, toward authority, society, and himself which may be desirable or undesirable.

10. Skills are better retained and more often used if they are learned under conditions similar to those in which they will be used.

11. Subjects must be presented in such a way that each individual shall secure a feeling of pride and satisfaction through its mastery. This involves an awareness of individual differences, to include ability, past experience, and present personality. Pacing work for the individual and wide and varied programs of experiences are required so that each person will have an opportunity to feel successful in his work.

12. Cooperation is necessary for work by all members of society. It is desirable to provide many experiences in which success can be obtained only as a result of the joint efforts of a group of specialized individuals.

13. "The ideal program would be one in which the pacing of experiences is so appropriate that no experience ever needs to be repeated. It is not likely that this ideal will ever be attained but it is fair to assume that a program which requires large amounts of repetitive work is out of step with the normal development... and will result in techniques of avoidance rather than

mastery....[If the student] fails to develop the desired attitude or skill as a result of an experience it should be assumed that what is required is a different experience."

There are considerable problems involved in implementing the ideal learning situation. This is partly the result of the "lack of knowledge in this area....[Attempts] to construct such environments have proved to be extremely expensive because of the individual nature of the circumstances....Finally, there is the matter of speed of learning. Discovery takes time, and the space age in which we live cannot wait for neonates to discover for themselves what the world already knows" (Bass and Vaughan, p. 28). The most desirable situation is seen as one which allows the trainee to move ahead in his development as he masters material, but not before.

The learner.-Huneryager (1964) points out that there is no effective training without the trainee's ego involvement. Ego involvement commits the trainee to change attitudes and behavior, and allows him to accept new knowledge and ideas. It means integrating the individual's needs and goals with the training experience. The lack of ego involvement is seen as the major weakness in "all types" of training programs.

Participation is seen as being the most fundamental principle to training because it is what increases ego

involvement. Huneryager suggests ego involvement can be developed by:

1. Relating training to the individual's goals.
2. Assisting the trainee to see how the training would be usable in his current job.
3. Providing opportunities for the trainee to assess:
 - a. The impact of the program on himself.
 - b. Obstacles which stand in the way of applying new knowledge.
4. Assisting trainees over obstacles through counseling and the utilization of the training group as a form of reinforcement and encouragement.
5. Providing the training program with "sensitivity agents" so that the trainee can see his own behavior as others see it. Without personal assessment, on a continuing basis, there will be no behavior change or role flexibility, causing ego involvement to be reduced.

Suchman (1961) provides further guidelines. Concepts are most meaningful, are retained the longest, and are the most available for future thinking when the learner actively gathers and process data from which the concept emerges.

This occurs because:

1. The experience of data gathering, to include exploration, manipulation, experimentation, etc., is intrinsically rewarding.
2. Discovery strengthens the learner's faith in the regularity of the universe which, in turn, enables him to pursue causal relationships under highly frustrating conditions.
3. Discovery builds self confidence which encourages the individual to make creative intuitive "leaps."
4. Practice in the use of the processes involved in discovery strengthens and extends the cognitive processes.

Guide for the Trainer

" Most aspects of teacher behavior can be subsumed under one of the following behaviors: motivating, presenting, organizing, evaluating, and counseling" (Bass and Vaughan, p. 78).

Training technique

The techniques of teaching are discussed by Combs and Snygg. "In former times teaching was conceived primarily as a business of gathering information and of imparting this information to students...such devices as books, lectures, demonstrations...film strips, movies, and television. Education has done very well in these gathering and imparting functions. It has done far less well in helping its students to discover the personal meaning of such information for their own lives and behavior....Gathering and imparting of information can often be accomplished mechanically, but the business of helping people discover the personal meaning of information for them still requires a human interrelationship. This is the very heart of teaching, its reason for being....The presentation of subject matter...is so simple a problem that it offers comparatively little difficulty for most educators...the problem is...helping students discover and understand the meaning of subject matter so that it affects behavior" (pp. 383-384).

Any attempt "to make a really significant change in a student's field by verbal means seems foredoomed to failure. Lectures, reading assignments, and class discussion may give students the raw material for filling in gaps in their perceptual worlds and for rationalizing the preconceptions and prejudices they already have but, by themselves, they are not at all likely to cause a radical change in any student's concept of reality. We can assume that each external event is perceived, if at all, in such a way as to cause the least possible change in the field. The words of a lecturer will only rarely be relevant to the private reality and personal problems of the students he addresses are very easy to ignore" (Snygg, 1966). McDonald adds that probably the best teaching situation is a combination of textbook and real life situations (1965, p. 180).

"Objectivity, in the minds of some people, requires a dispassionate, selfless consideration of events directly contrary to what is required for the personal exploration of meaning....An educational system which rules out personal meaning runs a grave risk of becoming a meaningless ornament of life rather than an effective and satisfying way of changing and improving it" (Combs and Snygg, p. 386). What is needed in the classroom is an opportunity to speak what one thinks about, believes, feels, worries about, wonders about, and puzzles about. There is a need to speak of things

in relation to oneself, not things outside oneself; to speak of personal experiences, not what one has read. To obtain this type of class situation, the authors suggest three guide lines (Combs and Snygg, pp. 388-390):

1. An atmosphere free from threat: "People can learn under threat...[but] the effect of threat is to narrow perception to that which threatens and to force the defense of self. For most learning situations, these two effects of threat are directly contrary to what we desire in an educational experience...the effect of threat is to produce autocracy, rigidity, and intolerance, all destructive to the development of free and independent personalities...people felt threatened when they felt inadequate to deal with the events confronting them and challenged when they felt the situations they were involved in were within the capacities...the task of teaching is to continually encourage and challenge students."

2. An atmosphere of acceptance: The "absence of threat...is best achieved in situations which treat each person as an individual of dignity and integrity; situations characterized by warmth, friendliness, and acceptance of the student as he is....In this kind of atmosphere students can and will explore their personal meanings more effectively....Good teaching requires that the teacher himself has discovered who he is and what he is and what he is trying to do...."

3. Importance of limits: The very existence of limits "provides the structure for the teaching relationship and makes the exploration of meaning possible...definition of relationships...development of stable frames of reference."

Philosophy, leadership, and training

It has been suggested previously that the goal of education must be to develop the adequate personality. More to the point of the present analysis is the fact that the individual with an adequate personality is one who would be

most effective in the training of others and is one who would be most effective in leading of others. Guidance is required for instructors in their task of providing training for managers. "Adequate persons provide leadership and the dynamic force which makes possible both their own good as well as that of their fellows. They often become the focal points around which many of the rest of us can rally to combine our efforts toward the achievement of important social goals. In a very real sense such people provide the background of democracy" (Combs and Snygg, p. 261).

Teachers should have an acceptance for themselves, should be able to identify with others, and should have a feeling of "oneness" with others. "A fearful teacher will inhibit the development of an atmosphere of acceptance in a classroom. He will tend to limit experiences instead of opening the field of experience" (ASCD, p. 127). The roles possible for the students "depend upon the role that the teacher chooses to play. In effect, the freedom of students is with respect to whatever functions the teacher does not preempt for himself" (ASCD, p. 169).

"The efficient production of learning experiences for others depends upon the skill of the teacher in using his personality as an instrument for helping others learn.... Good teaching seems...to be a matter of effective use of the teacher's unique personality. There will be as many methods of teaching as there are kinds of teachers"¹ (Combs and

¹Emphasis added.

Snygg, p. 402). "How a teacher behaves in the classroom depends not only on how he sees his students and the situation in which he is involved, but also, upon how the teacher sees himself. Like everyone else, teachers are seeking personal adequacy and their behavior will be deeply affected by the degree of adequacy they have achieved...there is much evidence to show that well-adjusted teachers produce better adjusted students..." (Combs and Snygg, p. 406).

The method of teaching must fit the teacher. "A 'good' method employed by a teacher who is unable to use it effectively may be a very 'bad' method for student and teacher alike....[However,] it is apparent that teachers need methods; it is also apparent that there can be no such thing as the method of teaching. Effective teaching requires the sensitive use of a human personality as an instrument for assisting other people to new experience and new discovery. It must always be a highly unique and individual matter" (Combs and Snygg, p. 408).

"At the outset, teachers must find ways of behaving which add up to the creation of democratic classroom atmospheres. This does not mean that no mistakes will be made, but it does mean that, through continuing self evaluation and group evaluation, we will discover our own irrational ideas and faulty assumptions and proceed to change our perceptions, beliefs and values as well as our overt behavior" (ASCD, p. 237).

"The genius of good teaching is not merely the satisfaction of needs but the creation of needs..." which the individual may not know he has. Teaching, then, becomes a process of helping the individual to satisfy his immediate needs and to create future needs in an "ascending, never ending hierarchy" (ASCD, p. 239).

Any interaction situation is seen as requiring reciprocity between teacher and students, between students with each other. "Two people so involved are trying to maximize their rewards and to minimize their costs, both of which are multiple and diverse. A classroom is meant to be a task-oriented interaction...the class ideally is a work group....It is a social device for facilitating learning, and the teacher's responsibility is to create that device in fact as well as in theory" (McDonald, p. 509).

The Association provides guidelines for evidence of creative teaching and learning (ASCS, p. 237):

1. Less teacher domination: There is faith in the student to find answers satisfying to him.
2. Less teacher talk: The teacher listens, and the students use the teacher and the group as a sounding board to explore ideas.
3. Less questioning for the "right" answers: There are more open-end questions; there is room for differences of opinion and for exploration of many answers.
4. Less destructive criticism: The teacher helps direct student attention to his own feelings for clarification and understanding.
5. Less emphasis on failure: There is more accepting of mistakes.

6. Work is appreciated: However, praise is not used to put words in the student's mouth.
7. Goals clearly defined: Class structure is understood and accepted by the group.
8. Within limits, students are given responsibility and freedom to work.
9. Students are free to express what they feel, and secure in knowing they are accepted for what they are.
10. Ideas are explored: There is respect for "solid" information.
11. A balance between shared and individual tasks.
12. The teacher has made clear to the student that learning is self learning.
13. Evaluation of student is shared.
14. Motivation for learning is high and seems inner directed.

The discovery of personal meaning is found to proceed best when conducted in an unhurried, unharried atmosphere. The teacher helps students explore by: (1) listening intently to what students are expressing; and (2) holding up for students examination the crucial aspects of events he is exploring. It is to be remembered at all times that the "discovery of personal meaning requires some sort of activity on the part of the learner. People will learn what they 'need' to know" (Combs and Snygg, p. 396). The most effective approach is through developing an interest in personal relations.

In contrast, the Association provides guidelines for evidences of the "wrong" classroom (ASCD, p. 210):

1. Competitive.
2. Blind trust or not trust.
3. Teacher aloof from the students.
4. Threatening atmosphere.
5. Discipline is based on obedience to authority.
6. Motivation, discipline, and evaluation are rooted in the institution's formal evaluation system.

Of the latter list: "It would be questionable, indeed, if values, beliefs and convictions learned in such classrooms would be conducive to the development of fully functioning people. In fact, it would be questionable if students in such atmospheres would expand or change their values, beliefs or convictions to any significant degree" (ASCD, p. 210).

Difficulties and limitations of the approach

However, these very guides may provide the greatest challenges and frustrations to the trainer. The trainer "'knows' there is a beautiful order in his discipline because he has discovered its logic and organization as a result of his own experience. He would therefore like to present this material in the most orderly way it has come to have meaning for him. He is quite likely to be frustrated in this attempt, however, by the maddeningly haphazard way in which students want to know about things...efficient and effective teaching must relate information to the need

of the learner. It is a comparatively easy matter simply to provide data. It takes real skill, however, to provide information in such a manner as to assist students in discovering meaning for them....The teacher must point the way to the importance of personal meaning change, must set the example of how to explore meaning, and must actively assist his students to make such exploration" (Combs and Snygg, pp. 393-394).

Each step of the learning process may be difficult for both the trainer and student. Since exploration "necessarily involves trial, practice, seeking, striving, and pushing into the new and unknown, it is bound to result in frequent error....Personal meaning can only be discovered in settings wherein one has the opportunity, indeed even the right, to make mistakes...where errors are not permitted there is likely to be little learning..." (Combs and Snygg, p. 396).

McDonald agrees that "discovery" learning is valuable, but does not subscribe to it apparently with as much faith as do Combs and Snygg. "The healthy and vigorous interest in discovery learning has been accompanied by strong claims for its effectiveness. As happens all too frequently in education, discovery learning has been offered, or at least taken, as a panacea for all the ills of indifferent, uninspired, rote teaching and poorly conceived organizations of subject

matter....The studies do indicate that the 'discover' learner is more involved in the work, participates actively, and gets added practice because he is motivated to study the problem independently. We expect and predict that these factors will enhance learning. They appear to, but the amount of the effect is disappointing" (McDonald, p. 213). McDonald adds that discovery learning must be a highly controlled process if it is to be successful. This advice would appear to agree with Combs and Snygg who have been quoted earlier as stating limits must be placed on the learning activities.

Some students are highly resistant to a class situation less structured than a lecture. "Students with authoritarian personalities seem to have less trouble learning factual subject matter and more trouble mastering ambiguous material than nonauthoritarian students....[The] rigid, anxious...students were found to do best in directive classes" (McDonald, p. 214). Regardless of personality, however, students do adapt: "Fortunately, most pupils can learn creditably even when the setting is not the most appropriate for their personality need" (Morse and Wingo, p. 312). Also, the instructor may find an initial resistance to group discussion if the students have had little or no experience with such an approach before. Morse and Wingo point out that they have "seldom encouraged a group-directed

design in a class without getting these reactions at the start: 'Why don't you lecture and give us the answers?' 'This discussion stuff is not good.' 'It's a waste of time.' 'Sharing of ignorance, that's what it is.' 'We need organized content, not discussion among ourselves'" (Morse and Wingo, p. 313).

As was found true for effective leadership, a variety of factors must be considered when attempting to have effective student activity learning. The following are suggested as limiting factors on the "democratic process" in the classroom (Morse and Wingo, p. 328):

1. Teacher personality.
2. Nature of the subject.
3. Maturity of the group members.
4. Past experience of the group members.
5. Expectations of the group.
6. Pressure beyond the classroom.

Training for Managers

In a rapidly changing society, it might be of the greatest value if each individual could "learn how to learn." It is suggested that "it may very well be that our major effect in management education ought to be focused on teaching managers how to learn, or how to teach themselves....It may be most important to concentrate on the fundamentals of

applied mathematics, English, reading speed and comprehension, basic economics, science, and technology, along with socio-psychological issues that deal with the manager himself as a learner. Study skills can be taught....The executive with satisfactory study skills knows how to skim; reads in a questioning frame of mind; knows how to alter the speed of his reading as a function of the material he is reading; keeps a dictionary handy and uses it; takes advantage of the opportunities to teach others, thereby reinforcing his own knowledge of particular material; and comprehends charts and graphs with ease....Discussion procedures, sensitivity training, coaching, and other attitudinal change methods might do well to dwell on the extent that the successful manager needs to develop more positive attitudes toward learning, overcome his resistances to change, understand his shortcomings as a learner, be more 'open' to experience and ready to learn from his experience" (Bass and Vaughan, p. 41).

"Training is concerned with the imparting of particular skills for a specific purpose, whereas education involves the development of the whole person - socially, intellectually, and physically....To be sure, he [the manager as teacher] will concentrate at times on training subordinates in specific skills; but in the long run, he must be concerned with their overall education if his ultimate goal is the

growth and development of the total organization....To the extent, then, that most of a manager's 'teaching' is directed toward the development of subordinates as future managers, the statement that he must educate rather than train is doubly true" (Bass and Vaughan, p. 69).

"There is no single best way for managers to teach their subordinates and there is no simple answer to the problem of management development....The choice of specific techniques will be determined by the interplay of a number of factors, including the characteristics of the teacher and learner, the specific content of what is to be taught, the organizational climate, and the long term organizational goals" (Bass and Vaughan, p. 69). Generally, Bass and Vaughan are not satisfied with the majority of management development programs being conducted. The "large majority of these training techniques and development programs have been established without any real attempt to provide answers to the basic educational issues....What should be included in a good management development program has been, to say the least, unclear...the area of endeavor covering the social, economic, and technological aspects of the business environment should be included in the content of a broadly based management development program" (Bass and Vaughan, p. 71).

Summary

A theory of learning has been sought, as part of a theory of personality, which is consistent with the philosophy of management advocated, and which would successfully allow for learning of democratic leadership as an expression of the equalitarian personality. The goal sought is greater productivity through greater group satisfaction.

Combs and Snygg (1957) suggest that people behave as they perceive the situation, and in the manner they consider to be the most meaningful and purposeful under any given set of circumstances. This is consistent with the philosophy. Because people are accepted as fallible, it is not expected that an individual's perceptions will always be accurate, but it does anticipate that all individuals will attempt to react in the most effective manner as they understand the situation. In aiding others to develop, the goal should be to develop the potential of man. It is accepted that throughout life, man possesses the potential to learn.

The entire concept around which Combs and Snygg build their approach, and the concept within which the other contributors to Part IV have been related, points to the need for understanding oneself and the need to interact with others in becoming fully an adequate personality. The individual is best able to learn when he does not see a need to be self-defensive, when he has clear perceptions of

the world as it actually is, when he is acceptant of others, when he is acceptant of new ideas, and when he has a desire for independence. These are the very characteristics already found to be necessary for both the most effective group leaders and group members. At the same time, it is the goal of a development program to instill these very qualities in the learner. That is, the goal of general education and the goal of personnel development are found to be nearly identical. Both goals, in turn, are the goals of the philosophy. It is found, then, that the goal of the philosophy, the goal of personnel development, and the goal of a satisfactory learning situation are mutually supporting.

In addition, the adequate person, rather than being content in his self sufficient condition, is constantly seeking even more effective means to satisfy his needs. The difference between the adequate - the equalitarian - and the inadequate - the authoritarian - personality is that the adequate person is able to perceive his environment with greater meaning. He is also better able to experiment and innovate. He does not feel threatened because he perceives order in the universe. It is with such feelings of security and a willingness to explore that the individual learns.

Learning occurs as a person exists and has experiences; the intent of training must be, therefore, to provide the experiences through learning that teach the individual

how to be the most adequate. Because individuals seek personal dignity, they cannot long be effectively manipulated.

The individual is not taken into a training situation as an incident isolated from the rest of his experiences; training for the individual can only begin at a given point in his own development. The individual is the product of his past experiences. If he has found the greatest satisfactions in the past by behaving in an authoritarian manner, he will not easily or quickly change. If a lifetime of experiences has taught him that the world is threatening or that others disapprove of his attempts at originality, he will not easily change these perceptions. If change is expected, then rewards - reinforcement - must be provided for him when he performs the new behavior desired. If the change in behavior, which is advocated in the classroom, is desired in his place of work, at least part of the training and rewards must occur on the job.

Because each individual is unique, learners will come to the learning situation with a variety of levels of acceptance and will vary in their capacity to learn, because their perceptions and abilities differ. If it is accepted that each individual is unique, then each must be allowed to act in his own manner in the learning situation, and must be allowed to learn at his own rate. The individual

should be assisted to perceive more effectively; he should not be taught the way of behaving. Improved behavior will occur with improved perception.

As the philosophy recognizes order to the universe, there are means of learning that are more effective than others. Learning is effective to the extent of the appropriateness of the schedule of practice, the appropriateness of presentation, the adequacy of guidance, and the nature of the material. Time must be allowed between learning sessions so that the individual can consider the material before he must apply it; because he is fallible, he cannot accept too much new material at any one time. Because of the dignity of man, material must be presented in a manner that is meaningful to the learner, and in a manner that allows him to make his own discoveries. Guidance is required to stimulate and reward.

The individual learns best when he knows the reasons for learning and understands the reasons for doing something in a given way. This latter point was found to be true for leadership; the employee performed best when he knew the reasons for the orders he received. The philosophy of the dignity of man requires that there be reason and purpose for man's acts. Motivation for learning must be internal to the individual for learning to occur. Motivation, in turn, focuses attention on the material, and allows the learner

to relate what is to be learned to what the learner wants to know. To guide the learner to accept new information requires that he be assisted in perceiving differently.

Combs and Snygg recognize the relationship between the philosophy, leadership, and learning, when they point out that this concept of learning is consistent with the democratic credo. This approach is compatible in a changing world which requires adapting to the changes.

In a very significant way, the authoritarian classroom is similar to the authoritarian work place. The less effective classroom situations are found where competition is encouraged between class members, where students are expected to have blind trust in the trainer, where the trainer remains aloof from the students, where the students perceive the class situation as threatening, and where all rewards and punishments come only from the trainer.

The importance of proper training, as related to the philosophy, is seen in material presented by Huneryager (1964). The individual must become involved if he is to learn because the material must be related to his personal goals. To help the learner perceive how he can use the training provided, he must have an opportunity to evaluate the new knowledge. This, in turn, requires assistance - support - over obstacles through counseling by the trainer and encouragement by the group. The most effective teacher behavior is democratic in nature. Good class leadership

allows either group planning with the trainer as the group leader, or group management as the basis for self development.

The conclusion is reached, consistent with the philosophy, that the individual must be treated with dignity, be allowed to be himself, and be allowed to make mistakes. All this occurs within a structured situation.

Having originally sought a leadership pattern consistent with the philosophy of management advocated, the next task was to identify the most effective method of teaching individuals to be effective leaders. Learning theory accepts that there must be action for learning. Therefore, it can be concluded that by providing the best situation for learning, one is, to the greatest extent, not only providing information and guidance in leadership, but, in fact, is providing the best example of how the leader is expected to behave toward his subordinates. Because no one method of leadership is advocated, to force someone to behave in a prescribed manner would be contrary to the philosophy, the goal of the leader, and the desirable features of this learning concept. The individual learns how best to behave in a given situation when he has been aided in learning how best to perceive his surroundings.

PART V. MANAGEMENT DEVELOPMENT PROGRAMS

CHAPTER XVIII

MANAGEMENT DEVELOPMENT: CONSIDERATIONS AND ALTERNATIVES

Introduction

The following provides a discussion of management development programs, including attitudes, philosophies, and theories concerning the manager and the procedures utilized in his development. A broad cross section of concepts and programs are presented; the intention is that from such a review, guidelines for a meaningful management development program may be developed.

It is found that there is not complete agreement as to specific objectives of a management development program nor is there complete agreement as to how objectives are best reached. A general over all framework evolves, however, to which most, if not all, students in the field of management development subscribe.

A review of the literature indicates that the term "training" is too confining to provide a realistic appreciation of what must be considered in developing an individual for the challenges of management. The term "development" is more accurate in concept; it suggests the whole man and it suggests that training extends beyond the classroom situation.

For this analysis, managers at all levels, in a variety of organizations, are considered. It is to be kept in mind that specific programs mentioned may be directed toward particular levels or functions of management. In relating a general discussion to the hospital, certain adaptations may be required due to the size of the organization, the particular duties performed, and the background of those to be trained. Adaptation should not be too difficult, however, due to the commonality of duties and behavior patterns, as discussed earlier, between managers no matter what their duties.

Considerations for Management Development

Need for development

Writers in the area of management development tend to agree that the requirements of the manager demand that he be a highly competent individual who possesses broad interest, wide imagination and understanding, and that he have a superior intellectual capacity. Ability in human relations is considered to be of paramount importance. Skills of effective communication and decision making are critical (Barnard, 1945).

"No organization can depend on genius; the supply is always scarce and always unpredictable. But it is the test of an organization that it make ordinary human beings perform

better than they are capable of, that it bring out whatever strength there is in its members and use it to make all the other members perform more and better" (Drucker, 1954, p. 145). Inherently, some individuals are more qualified to perform the functions of managers. Nevertheless, there has become a widespread awareness that good managers typically do not just happen (Koontz and O'Donnell, 1959, p. 359). No matter what his present level of performance, the manager "can improve his performance in all areas of management... [by] systematic analysis of his own performance" (Drucker, 1954). "The demands of management are becoming greater year after year because of government regulations, technological development, and the importance of social-political changes" (Habbe, 1950, p. 4).

Training is valuable not only to bring managers up to a desired standard of performance, but to keep them at the desired level as well. Weigle (1964) comments on this latter problem in terms of "obsolescence." Managerial obsolescence occurs as a result of (1) mental and physical deterioration; (2) process or systems changes; and (3) the increased complexity of carrying out the functions of management.

A number of organizations prior to the 1940's, usually the larger organizations, had utilized such forms of management development as university programs, job

rotation, and in-company classes. Since the mid-1940's a trend has occurred, however, which includes a greater awareness by more organizations of the need for management development, an appreciation that development must be a continuous process, and that a systematic approach is needed (Trickett, 1954). Perhaps the most important concept to be accepted is that development takes place within the individual - the organization can provide the opportunity for learning, but it is the individual himself who learns (Chapman, 1954; Houston, 1961, p. 168; Mace, 1954).

Objectives of management development

Management education and development has been defined as (Houston, 1961, p. 5):

A planned, systematic, and continuing process of learning and growth desired to induce behavioral change in individuals through bringing out or stimulating their mental abilities and inherent qualities through the acquisition, understanding, and use of new knowledge, insights, and skills as they are needed for and apply to more effective performance of the work of managing.

The objectives of management development have been suggested by a number of writers. Koontz (1964) identifies objectives:

1. Obtain effectiveness in periods of accelerated changes. The manager must be aware of change, to be able to forecast it, and to maintain flexibility to provide for it.
2. Insure for the organization a balanced environment which promotes creativity where needed and conformity as required.

3. Cope with the increased sophistication in all aspects of management.
4. Provide better planning, organizing, staffing, directing, and controlling - the Functions of Management.
5. Increase new vistas of information and new ways of systematizing information.
6. Assure quality of management throughout the enterprise through measurement of results.

Abilities are seen as being of more importance than job skills, discipline of personnel, or standardized procedures. Emphasis should be placed on reasons things are to be done; reaching the goal is of more importance than the means of reaching the goal.

The United States Civil Service Commission summarizes the objectives of management development as they are found to be in practice (USCSC, 1956):

1. To prepare the non-supervisory employee for the assumption of supervisory responsibilities.
2. To develop present supervisors to a high level of competence.
3. To develop a sense of organization unity and purpose.
4. To provide needed job information, such as policies related to leave, incentives, personnel procedures, duties and responsibilities, and performance standards.
5. To build basic supervisory skills, such as how to plan and lay out work, work simplification, training, conference leadership, and handling employee relations problems.
6. To develop "management minded" supervisors.
7. To build a sense of responsibility for effective utilization and development of subordinates.

8. To increase the effectiveness of decision making, communication, and human relations.

9. To encourage recognition of the importance of economy of operations and standards of service.

10. To develop an appreciation by the managers for their positions as employees and the need to maintain a high standard of integrity and service in the public interest.

11. To strengthen the status, authority, and confidence of the supervisor. This is accomplished by improving the communication to them by top management, and by obtaining from them greater participation in management affairs.

Therefore, for a management program to meet its objectives adequately, it is believed that the program must be based on an understanding of the (Houston, 1961, p. 5):

1. Work of managing: the nature and requirements of leadership.
2. Fundamental qualities and abilities of the manager.
3. Skills, insights, and attitudes which are essential for managing.
4. Needs of the organization for developing managers.
5. Abilities, potential, and development needs of the individual manager who is to be trained.
6. Teaching-learning process.
7. Need for manager education and development as part of a continuing plan for the individual which is geared to the needs of the organization and the individual.

Indeed, these can be viewed as the requirements and purposes for which this present study has been made.

As Argyris (1957, p. 15) points out, experience, as such, teaches the individual nothing. All people learn

something by experiencing events, but what is learned may be either right or wrong. The ultimate test of the value of the experience is how the individual utilizes his experience. Appley (1958) appears to agree: "Mere exposure to management and management practice is not sufficient preparation for a man to carry heavy management responsibility." Even exposure to a program of management development will not automatically guarantee that the individual will effectively apply the information provided.

Ultimately, the goal of management development is to achieve, through the manager's improved performance, a higher quality and quantity of work by his subordinates. There is nothing about any given individual who becomes a manager to expect that he will be fully qualified for his duties. "The supervisor, ordinarily, does not enter into his position possessing the skills and knowledge necessary to cope with the complex requirements of his job....His promotion to supervisory rank is usually based upon recognition of his special competence plus an estimate of his potential as a supervisor....[The] trial and error process may be effective, but it is also time consuming..." (U.S. Civil Service Commission, 1956, p. 6).

There is a definite trend toward the concept advocated by Given: "To keep good men in its ranks and develop them as quickly and fully as possible, and through them develop

other competent people, management must give these men maximum authority and right to venture, to take chances with their ideas. This means that there will be mistakes. However, since a good man cannot develop by repeating a routine or living in a cubbyhole, or without making mistakes, his errors are...one of the necessary costs of doing business on a sound long range basis" (Given, 1952). Not all would go as far as Given, but most see a value to a systematic approach of providing the manager with growth experiences.

Management skills

As discussed earlier, there are various ways of classifying what the manager must know to be effective. In broad terms, management skills have been identified as technical, human, and conceptual (Katz, 1955). The importance of each skill required tends to vary with the type of work done, the type of work supervised, and the level of the manager in the organization. It is to be recalled that technical skills are likely to be most important relatively at lower levels of management, conceptual skills at the top levels of management, while human skills are found to be equally important at all levels. Looking at the total development of the manager at any level, it would be questionable to suggest that a management development program was adequate which did not provide for training in all the skills required.

Because the skill "mix" at each level of management is different, a single management development program may not be adequate. This does not appear to be well understood. "From a study of the literature, a review of management development programs in operation, and from discussions that have taken place in various management committees and conferences, it appears that in many instances people are using the same terms for different things and that there is little common understanding of some of the basic problems that are involved....[The] use of the same development methods for both executives [top management] and supervisors [lower management] - even if elaborated and extended - will fail" (Rock and Grela, 1954).

It is "more useful to judge an administrator on the results of his performance than on his apparent traits. Skills are easier to identify than are traits and are less likely to be misinterpreted. Furthermore, skills offer a more directly applicable frame of reference for executive development, since any improvement in an administrator's skills must necessarily result in more effective performance" (Katz, 1955). Once the appropriate skills are identified, training can be more effectively directed to those skills which the individual is required to have in his present job or will need in some future position.

Learning skills is only part of the task, however. The manager also must "develop his own point of view toward

human activity, so that he will (a) recognize the feeling and sentiments which he brings to a situation; (b) have an attitude about his own experiences which will enable him to reevaluate and learn from them; (c) develop ability in understanding what others by their action and words are trying to communicate to him; (d) develop ability in successfully communicating his ideas and attitudes to others" (Katz, 1955).

Some writers have suggested that the greatest area of weakness in management development has been at the higher management levels, yet McMurry (1954) observes that the "shortage of executive ability at the top tends usually to reflect a similar shortage extending down to first line supervision." It is found that many writers believe the key to the development of any manager is dependent on the type of immediate superior he has. If McMurry (1958) is correct, a weak manager would not be expected fully to develop his subordinate managers.

McMurry also questions that proof of managerial ability at a lower level guarantees the same individual will be successful at higher levels of management. This tends to support the belief of Katz that each level in the organization demands a different "mix" of management skills. There is hope, however, if one can accept, with Katz, that skills can be learned and improved. Training can not be expected

to do everything, however. "If an individual is inherently passive, dependent, and submissive, no formal training, no advanced management courses at a university and no spirited harangues by his superior are going to change him..." (McMurry, 1954).

If top management development plays a key role in the development of managers at all levels, it is unfortunate that little has been found in the literature which indicates a change from the situation presented by Habbe (1950).

"Many presidents and vice-presidents today are specialists both by training and by experiences. But top jobs call for persons with broad backgrounds who are conversant with all phases of the company's operations...[but] as one moves up the management ladder, he finds fewer and fewer programs of training."

Survey of Development Programs

Number of programs

It is of interest, as part of the total picture of management development, to obtain some insight as to the extensiveness of management programs. The American Management Association conducted a study in 1950 to determine this (Trickett, 1954). Questionnaires were sent to over 5,000 corporations - 25 per cent of all U.S. corporations of over 250 employees. Tabulations included responses for

2,000 firms answering the questionnaire plus results of interviews with 530 firms sampled from those not responding to the mailed request. Of the total, 30 per cent had some form of management development program. The oldest program found at the time, however, was only ten years old; the modal program had been in existence less than three years. (Even with the rather unimpressive results obtained in the study, it can be speculated that there was a positive bias to the results. Of those contacted through the questionnaire, 47 per cent of those who were Association members responded while only 17 per cent of the non-members responded. There is a strong possibility that the more progressive firms would belong to the AMA, and therefore would be most likely to respond to such a questionnaire and to have a management development program.) Habbe (1950) has stated, after conducting a study for the National Industrial Conference Board, that only a small percent of companies had management development programs. He also points out that an attempt was made in 1943 to survey the extent of such programs and it was found that there were very few.

There has been a change. The Wall Street Journal (Obsolete executives, Jan. 24, 1966) reports that in 1965, 500,000 business executives participated in on-the-job training, management seminars, and formed academic programs.

Houston (1961, p. 20) indicates that of 1,000 firms surveyed, two million dollars was spent on university programs alone.

Type of training

Habbe (1950) from his survey, found that of those firms with programs, a total of twenty different methods were used with an average of over ten by each firm.

Almost always used:

- Merit or performance reviews
- Visits to other companies
- Attendance at technical meetings and management conferences
- Distribution of reading lists and management bulletins
- Group meetings

Often used:

- Job rotation
- Advanced management courses at universities
- Consultants
- Committee assignments
- Executive inventories
- Job descriptions

Sometimes used:

- Special training positions
- Multiple management plans
- Management cabinets
- Understudy or assistant-to positions
- Community leadership
- Health and fitness programs
- Individual counseling
- Assignment to training or sales departments
- Sponsor plan

The following list was compiled as representing the most common types of training methods found in industry during the years extending from 1930 through 1957 (Spriegel and James, 1959):

Formal on-the-job training
Foreman training classes
Special employee classes
Company school
Employee cooperative students
Part pay for education
Classes on company time
Employee training off the job
Employee library
Formal apprenticeship

Variety of programs does not present the entire picture, however. For example, the number of people who participated in training was found to vary from a company which included 131 employees per 1,000 on the payroll to a firm which included less than one employee per 1,000.

Even though development programs may be limited, the trend appears to be promising. One observer has felt confident enough to state: "Probably for the first time in history, top executives in American corporations can tell with some certainty who is [sic] going to be running their businesses ten or twenty years from now and what kind of people these men will be" (Allen, 1957).

Trends in management development

Over the years, Brooks (1958) has found that there has been increasing attention given to:

1. Developing the whole man in all his relationships.
2. Continued education, especially through the use of outside sources.
3. Health and safety factors.
4. Increased cooperation between the firm and university training.

5. Taking corrective action of managers who have experienced temporary failure.
6. Self development and the responsibility of the manager's immediate superior in providing guidance.
7. Generally more recognition of the need for developing employees.

A decreasing attention was found to be given to:

1. Copying other organizations' programs.
2. Starting programs on short notice without considering long range problems.
3. Decreased emphasis on developing the "crown prince."
4. Hasty decisions on replacements of poorly performing managers.
5. Utilizing seniority unduly for promotion.
6. Emphasis on "gadgets" in training.

Current practices

As part of still more recent changes, Shaw (1963) describes the following as being currently in use:

1. Team training for at least part of the program. This is accomplished through staff groups, project teams, task groups, and group classroom training.
2. Simulation "games" which attempt to duplicate functional and social operations in the organization. This method allows the trainees to analyze and interpret their own effectiveness.
3. The use of "trainer teams." This has been necessary because the complexities of management development have reached the point where more than one discipline and point of view is desirable.

Newport (Jan., 1965; Mar., 1965) obtained the following results from a survey of training directors in 121 business firms.

Twenty-four directors out of the eighty-four who responded to the question, indicated a lack of top management support for lower management development programs.

Only thirty-two of the 121 companies had some form of formal and systematic long range middle management development program.

In training sessions, over 50 per cent of the firms utilized conferences, combination lecture-discussion, case studies, and lectures. A smaller number of firms also utilized role playing, management games, and job rotation.

Selection.—Following are the methods used by ninety responding firms in selecting participants for development:

1. Screen according to greatest need, 38 per cent.
2. Screen by department heads, 32 per cent.
3. Screen according to potential, 19 per cent.
4. Screen according to available time, 11 per cent.

Methods used to motivate middle managers to attend development programs by all firms were:

1. Told to attend by superior, 64 per cent.
2. Encouraged to attend through suggestion by superior, 53 per cent.
3. Informed of the program and company policy toward training; free to attend if they wished, 25 per cent.
4. No encouragement; managers attended only if they felt a need for the training, 4 per cent.

Orientation.-Only about half of the firms with training programs provide some form of orientation prior to the introduction of the program. Of those providing orientation, the following methods are used:

1. Letters from the training director to the participants, 17 firms.
2. Verbal communication from the manager-participant's superior, 16 firms.
3. Group meetings with training personnel, 11 firms.
4. Counseling by training personnel, 11 firms.
5. Bulletin board announcements, 5 firms.
6. Briefs of the program prior to its introduction, 5 firms.

Class size.-Training classes varied in size from ten to thirty, with a mean of eighteen. Reasons for limiting class size were given as:

1. Improved discussion and participation; free exchange of ideas, knowledge, and viewpoints, 96 per cent.
2. Favorable responses concerning quality of the programs, 24 per cent.
3. Better control of the group, 11 per cent.

Trainers.-Fifty-seven per cent of the firms utilized outside instructors, such as university faculty and management consultants. Six firms not utilizing outside instructors considered them to be "too theoretical." Reasons given for going outside the firm for faculty were:

1. Acceptance of the instructors as experts by the participants, 39 firms:
2. Providing an outside viewpoint, 17 firms.
3. High quality of instruction, 14 firms.
4. Verifies and supplements company instruction, 10 firms.
5. They are not hampered by organizational "red tape," 5 firms.
6. Presentation of new ideas, 5 firms.
7. Company people do not have time to present classes, 2 firms.
8. Less expensive than full time qualified instructors, 2 firms.

Location.--Programs developed by individuals and groups outside the firms were a major part of the development programs for sixteen firms and supplemental for eighty-seven firms. Thirteen firms held all programs away from company premises; fifty-two held part of the programs away. Reasons given for off premises programs were that the atmosphere was more relaxed, and there developed more association between the participants because they were unable to go directly back to their work stations at the end of a session.

Concepts.--Finally, the results of a survey by House (1963) provides "current thinking regarding management development in the light of recent research findings." Although "management development is still in the stage of preliminary research and infancy," the following appear to be

representative of the most current, sophisticated conclusions concerning management development.

1. It must be assumed that the functions of management are more than trial and error.
2. It must be recognized that development by the manager is self development. Even though successful managers overcome barriers to their development which are inherent in the organization, the organization can provide an environment which contributes to the manager's motivation to develop.
3. It is to be recognized that an individual tends to manage in the same manner he is managed by his own superior.
4. Management programs must provide a clear understanding of responsibility, authority, and accountability.
5. Performance standards must be based on job objectives. Means of reaching the objectives and the traits of the individual manager are important only to the extent that they affect the accomplishment of the objectives.
6. As part of the over all management development program, the manager-trainee must be provided with counseling. This is both important and difficult.
7. The adequate development program must be continuous. There must be frequent on-the-job coaching and counseling.

As a means of summary the following is offered as an attempt to identify the different trends in management development (Strauss and Sayles, 1960, p. 511).

<u>Activity</u>	<u>Early</u>	<u>Now</u>
Promotion	Move picked few quickly between jobs	Opportunity for everyone
Testing	Great emphasis	Less emphasis
Performance evaluation	Used by top management Compare one with another Traits Objective Numerical	For use by many How to do better Behavior Subjective Feelings
Training	Few Off the job Conducted by staff Only top management problems	For everyone Coaching Conducted by line Problems at current level held

Weaknesses and Difficulties of Management Development

Program planning

Preparation.—Newton (1956) questions how much thought goes into many management training programs. After study, he is not certain what factors are generally considered in making the final decision on such critical factors as material to be presented or personnel to be trained. Often, training is introduced only after a "crisis," such as a decrease in sales, a series of customer complaints, or a breakdown in organizational communication. Typically, a program established on a crisis basis tends to be short lived and tends to lack long run objectives. Reilley and Muller-Thyn (1954) warn that to be effective, "an executive

development program must be planned, instituted, and followed through that it goes on as an integral part of everyday operations." Of equal significance is the warning that "executive development is a long range program - one which taxes the vision and determination of all members of the top management. For years, benefits may seem intangible. Results may not be seen quickly enough; enthusiasm may lag."

The organization.-The challenge of Argyris is direct. "Management should consider shifting its emphasis and philosophy from executive development per se toward the development of the total organization; more accurately toward the process of increasing the healthy development of the total organization." This is based on the finding that many firms "send people to these programs to 'unfreeze' them; to expose them to new points of view, etc. This implies that the internal organization as it is presently constituted freezes people." Argyris asks: "If this is true, why not build a 'defroster' system within, and as an integral part of the organization?" (Argyris, 1959).

Program selection.-Taylor (1959) finds a further weakness in training programs when management is satisfied with a "packaged training program" copied from another organization or purchased from a commercial firm. Management can "derive a sense of security - even of complacency - from the feeling that they have a management program, when,

in reality, they don't even possess a comprehensive facade." Taylor even suggests an intended or unintended dishonesty in programs reported in the literature. "I have read numerous such accounts of programs with which I happened to be intimately familiar. It has amazed me at times that the programs described in the article and the program I know were one and the same."

Training director

The training director himself can be the greatest cause of failure to a training program. "There is probably no occupational category in American industry where incumbents are so completely lacking in the technical training required to discharge competently the responsibility of their positions as management development...some get into management development when top management wants to get them out of a management position where 'he can do no further harm'" (Taylor, 1959). Trainers also are criticized when they apparently work for personal prestige - they attempt to be entertaining rather than instructive (Roethlisberger, 1951).

Training techniques

To Roethlisberger, the method of presentation is often no more well conceived than the method of planning. Many of the management training programs "raise 'loaded' questions, give facile answers, indulge in platitudes,

present principles that cannot be applied to concrete situations, and discuss unreal situations...." He sees programs often limited in approach: "In many of these programs supervisors are instructed in 'why employees behave as employees.' Very few have much to say as to 'why supervisors behave as supervisors.'" The problem may be related to incorrect basic assumptions: "We apparently prefer to point our good intentions and beliefs, mostly erroneous, about an ideal supervisor - a little tin god on wheels - that never existed at any place or any time; a man who is always 'objective,' who gets all the facts before he acts, who never loses his temper, who is always courteous and kind and, above all, fair, who treats people the way he would like to be treated, who now can tell an introvert from an extrovert, who knows about the private lives of all his employees and just what is troubling them, who now knows the four methods of resolving conflict, while of course at the same time he gets out the work and maintains cost and quality. What a guy!" (Roethlisberger, 1951).

Human relations programs generally are seen as falling short of the intended goals because (Roethlisberger, 1951):

1. They are oriented more to words and techniques than to the understanding of situations.
2. They ignore the feelings and attitudes which supervisors bring to these sessions.

3. They "misevaluate" the complexity of the learning process.

4. They substitute good intentions and "wheezes" for intelligent reflection about experience.

Stolz suggests further pitfalls inherent in many programs (Stolz, 1954):

1. Frequently the program causes a "high tension atmosphere" when the material is directed not toward what the manager is doing, but toward his next position. Many tend to lose sight of the present job and become disappointed if they are not promptly promoted.

2. Many programs are developed around a group of high potential men who receive all the attention. Some of these individuals do not develop as expected, and some who are not included in the program become discouraged and do not contribute their maximum to the organization or leave.

3. Often a formal training program places emphasis on the company training the man rather than the man developing himself. "Study of the careers of successful executives shows the greatest development takes place when a man feels the full weight of responsibility for his job."

4. When emphasis is placed on procedure, there is a tendency toward "complacency" that everything is being done. Top management and trainers alike may become so involved with technique that they ignore the individual's development.

"As a result, it is not surprising that supervisors often leave these meetings little changed except perhaps for having acquired a slightly enlarged vocabulary and a few tricks." Self-learning can be improved if trainers "stop telling supervisors how they should behave and what their attitudes should be. We have to stop trying to change their personalities....We are no longer trying to change

them; we are giving them the opportunity to change themselves" (Roethlisberger, 1951). This is best done through helping people recognize the feelings and attitudes they bring to the sessions by asking "better" questions and being better observers of experience.

"Management's concern with the problem [of training] has been real, and its effects have by no means been unsuccessful. One cannot escape the impression, however, that the individual frequently 'gets lost in the machinery'... (McGregor, 1960, p. 192). One of the most basic problems of management development may be the point made by Smiddy (Harris, 1956). He believes that the practice of management is ahead of the means to teach it to others. The techniques have yet to be "codified."

The learner

Whatever poorly conceived procedures may be involved with the development of programs, the problem is compounded, as seen by Smiddy (1956, p. 91), because some managers go into a training session with a "show me" attitude, almost defying the trainer to prove that they should change their pattern of behavior on the job. This may be explained in part by Zalesnick's (1951) conclusion that the "typical" foremanship training program in human relations and leadership is not viewed by the participants as being either realistic or useful. Such reactions by trainees has been

observed by Surface. "Examination of any range of training attempts would reveal a high proportion of failures....[Some are traceable] to poor instruction, others to poor training material, and so on....[It is found] in a surprisingly large number of instances the 'saboteur' would be a phenomenon which...can be called resistance to training." Program content is partly to blame, but there are other reasons. In most cases, trainees have more experience as managers than do the trainers. From a survey of one training program, it was found that participants perceived themselves as "capable foremen," therefore, each lesson presented in class "constituted a threat to his picture of himself. He defended himself against the threat by criticizing the training program..." (Surface, 1954).

Surface quotes a discussion between two participants as an example of the reactions to a training program. Each had just attended a different morning session and were preparing for afternoon classes.

Joe: Sam, what did you have in class today?

Sam: The subject was how to treat the union steward.

Joe: How should you treat him?

Sam: Be nice to him.

Joe: Oh. (Pause) Well, we had time study. You won't mind it so much.

Sam: I wish I could say the same for you.

In analyzing resistance, the author presents these conclusions:

1. Resistance is not due to a single event, but to a series of events. Attitudes have developed over a period of time. Therefore, it cannot be expected that resistance will suddenly vanish with an improved program or approach.
2. Attitude toward training is not discrete, but is interrelated with the manager's attitudes toward his superiors, staff personnel, the organization as a whole, etc.

Finally, Surface suggests that the foreman "would agree that he should continually seek to improve, but he would go along with new training programs more readily if he did not feel that management expected them to make him perfect."

"Evidence indicates that when training is not compatible with the individual's personality, it is, in one form or another, rejected" (Miller, 1964). Training must consider the participant's motivations, aspirations, anxieties, attitudes, and values. "One of the gross failures of many leadership training programs is their almost exclusive concentration on either the group process or a particular theoretical orientation to leadership. After examining such programs, one is left with the feeling that the manager is expected to conform to the needs of the program rather than the program conforming to the needs of the manager" (Miller, 1964). This could explain the conclusion drawn by Mann (1957) that the majority of training programs tend not to succeed in helping managers change their attitudes, behavior, or leadership philosophies.

Relating training to the job

In a more recent analysis, Schein (1963) found that "one of the consistently puzzling phenomena" of management development programs has been the failure of trainees to hold to the insights and attitude changes obtained in training. This is seen as resulting from the fact that even though new knowledge and skills have been learned in the classroom, the perceptions the participants have about what they believe the superior expects of them tends to have a greater impact on their performance on the job. If it is perceived that the superior expects performance other than that learned in the class situation, the choice of behavior will be in favor of the superior's expectations, not as the trainer intended. Roethlisberger (1951) believes many programs are unrealistic: "Most of them tell the supervisor how he is to behave...[but] when the trainee goes back to the shop or office, he is under particular pressures, both internal and external, which determines his behavior there far more than anything which has gone on in the training meetings." It is believed people will attempt to change behavior only if the organization rewards the change - rewards initiative and growth. The most direct and immediate rewards typically come from the individual's immediate superior.

In support of the contention that the participants' superiors do not always endorse the "democratic" form of

leadership most advocated in management training programs, Jasinski (1956) quotes written observations by the trainees' superiors to indicate what the superiors consider to be good performance:

"Very aggressive and controls employees well."

"More forcefulness required to increase the efficiency of the operators."

"He is lax in controlling his people."

From these comments, Jasinski (1956) concludes:

"There was a discrepancy between what one management representative [the trainer] preached and what other representatives [general foremen and superintendants] practiced." As one of the trainees expressed it, "In foremen training we're taught the kid-gloves approach, but on the job your boss says the opposite."

Even a program which is able to change behavior in the intended direction runs the risk of being based on unsound goals. As Greenwalt (1959, p. 55) states: "Too much codification in training procedures often results in perpetuating facsimiles and freezing rigid patterns of thought. Thorough training is obviously a necessity, but it must always be remembered that organizations do not make men - men make organizations."

Although Jasinski (1956) finds that with proper support, subordinate leaders will comply to the form of leadership their superiors prescribe, Guest (1956) cautions that

even though training may be valid and useful, many managers are so busy handling production problems they may not find time to think of or use what was learned in training.

Unintended consequences

An extremely frank discussion is provided by Sykes (1962) of the disastrous consequences of one management training program. During the course of the sessions, lower-management trainees became much more aware of the inadequacies of their superiors than they had been previously. This resulted in a great deal of discontent and an almost immediate increase in turnover by this management group. These negative consequences occurred even in the face of definite improvements in working conditions. In the training sessions the "supervisors became very excited and indignant during the discussion on the company and its faults, and the group discussions were made in an atmosphere of considerable excitement, with the men shouting and denouncing the senior management of the company." Before the course began, "the senior management had met the supervisors' 'expectations' of the role of senior management and there was no serious discontent among the supervisors....The consultant was successful in creating such changes in the supervisors but not in the senior management with the result that after the course the supervisors held a perception and expectations of the role of management which conflicted with those held by the senior management."

Davey has identified what he believes to be the major contributing factors to a breakdown in the effectiveness of training (Davey, 1954):

1. Training directors receive pressure from within and from outside the organization. Usually they are not given adequate time to design and implement a successful program.
2. There is a general tendency to "spoon feed" trainees through lectures and conferences, thus overlooking learning fundamentals.
3. Specific programs are used ignoring broad basic approaches.
4. Training equipment is misused by depending too much on them. Training aids are only "aids."
5. Often the wrong people are trained or are inappropriately placed in certain programs.
6. Lack of top management participation.
7. Short sighted training goals.

Bennett (1957) provides further causes of failure:

1. An insincerity of purpose as presented by top management.
2. A "take-it-or-leave-it" attitude by top management when introducing the program to lower management.
3. An insistence on the part of top management for a proof of the "payout" from the program.
4. A failure to provide continued organization planning for training.
5. An organization philosophy in practice which is "out of phase" with the philosophy of those conducting the training.

Summary

Schein provides a list of forces which can block or encourage growth in development programs. (A similar list of blocks is provided by Jasinski (1957).)

Blocks to growth:

1. Personal forces:

- a. Fear of change and the unknown.
- b. Commitment to one's own self image.
 - (1) Difficulty of accepting an inadequate self.
 - (2) Resistance to being wrong.

2. Interpersonal forces:

- a. Unwillingness of others to accept change in the individual.
- b. Lack of data available to the individual as to how others perceive him.
- c. Unwillingness of others to accept change in the individual that does not fit their expectations of him.
- d. Fear by the individual of peer group rejection if his change is seen by them as an attempt to gain an advantage over them.

3. Organizational forces:

- a. Failure of the organization to reward growth demonstrated by the individual.
- b. The authority of the superior over the career of the individual.
- c. Control systems which tend to create dependency and insecurity in the members of the organization.
- d. Destructive competition between members as a result of specialization and empire building.

Forces to growth:

1. Personal forces:

- a. A basic need felt by people for growth.
- b. A recognition and sense of inadequacy felt by the individual.
- c. A desire by the individual to please those perceived desiring the individual to change.

2. Interpersonal forces:

- a. Pressure from superiors and others to change.
- b. Performance appraisals, coaching, and counseling directed toward change.

3. Organizational forces:

- a. Organizational rewards for changing.
- b. Support for efforts by the individual aimed at self development.
- c. Organization sponsored and endorsed training and development programs.

CHAPTER XIX

MANAGEMENT DEVELOPMENT: IDENTIFICATION AND EVALUATION

Search for the Ideal Program

Need for planning

Yoder provides observations which are generally representative of most writers concerned with management development. He has concluded, after study of existing training programs, that no "standard" policy on training can be specifically identified.

Perhaps more important than any other factor is that there must be an insistence or recognition by the entire management group of its responsibility for training subordinates. Training should be undertaken only when adequate study has identified the need for training. Although actual training may be given by management personnel, over all planning and direction requires professional competence. It is to be recognized that "effective training is seldom cheap." Finally, to repeat, "the decision to train cannot be effective without a decision on the part of the employee to be trained" (Yoder, 1956, p. 283). This latter goal is best accomplished when the trainee takes part in determining his own training needs (Bellows, 1959).

A suggested outline of procedure

An earlier statement still appears to be consistent with more recent thinking and provides a rather comprehensive outline for guidance in developing and implementing a management development program. "This composite picture does not represent any one company. It includes the best features of many different programs we studied....A few companies came close to having all these features, but they have been operating in high gear for five to seven years. Establishing a program is a slow, difficult process. If you want a quick, easy method, don't start! This composite is admittedly ideal¹..." (Rowland, 1952):

Top Management's Role:

1. Top management must be interested in the program and give it budget support.
2. Top management must actively participate in the design, conduct, and evaluation of the program.
3. Top management must take part as trainees in the development program along with the lower levels of management. It is encouraged that top management receive the training before any of the lower level managers.

Responsibility for the program:

1. Responsibility rests on line management.
2. The training staff provides assistance to the line.

Staff Organization:

1. The senior member of the training staff should be either a successful line manager or a professionally trained specialist. To develop the necessary combinations of skills often requires a training team.

¹Emphasis added.

2. The senior training member should be selected on the basis of his organizational ability, his ability to sell others, and his knowledge of management problems.
3. One or more members of the training team should be professionally trained in psychology, education, and/or other of the behavioral sciences. "Naturally, such individuals are somewhat rare!"
4. The staff provides assistance for:
 - a. Research of management problems.
 - b. Design of a variety of management tools.
 - c. Developing in managers the skills to use these tools.
5. In that the training staff is usually small, frequent use can be made of outside sources.

Program Planning:

1. Research must be conducted to determine training needed.
2. A determination must be made of organizational and individual assets and liabilities.
3. For a balanced approach, a coordinated attack on a variety of problems will be required.
4. The emphasis on course content must be directed toward current problems, not toward some preconceived idea of what should be in a program.

Program in action:

1. For simplifying classroom instruction, a minimum number of classrooms and instructors should be used at any one time.
2. Line management must support classroom programs in day-to-day on-the-job activities with their subordinate managers.
3. The program (for various reasons, not all writers in the field would accept the following criteria without qualification):
 - a. Held biweekly. Twenty members to a class. Both vertical (superiors and their subordinates)

and horizontal (peer groups - managers of equal rank) membership is desirable. The class leader should be a member of line management.

b. Results of class progress should be reported to top management.

c. The training programs should be supplemented with quarterly information meetings to improve communication.

4. "Other likely activities":

a. A review of trainee performance on-the-job.

b. Short courses for those managers with specific shortcomings.

c. Professional counseling could be provided for managers who chose to participate on a voluntary basis.

d. Training should be provided on a continuous basis.

In addition to specific training, the following "modern management tools" should be applied at the same time:

1. Job descriptions.
2. Structured selection interviews.
3. Patterned coaching interviews.
4. Conference leadership skills.
5. Performance evaluation.
6. Employee and management attitude surveys.
7. Evaluation of the manager's potential.
8. Fair and equitable compensation plan.
9. Job rotation and special assignments for selected managers.
10. Regularly scheduled procedures for communication.

Program Evaluation:

1. Conducted quarterly to evaluate how adequately the management development program is fulfilling the needs of the organization.

2. Reports of the evaluation, along with recommendations for redesign and improvement of the program, are forwarded to top management.

Determining Training Needs

Lack of adequate guidance

Newton has found in a review that "despite the importance of the subject, not a great deal of specialized literature exists which deals with the problems of how to determine training needs" (Newton, 1956). This conclusion is agreed to by Jackson and MacKinney (1959).

This general neglect is seen as arising from the assumption on the part of top management that needs for training are easily identified, and the assumption that management problems are specific rather than general so that specific rather than general instruction is required. Writers take exception to both assumptions.

Reasons for training

Jackson and MacKinney (1959) have identified three major reasons why firms decide to conduct management training.

1. Emotional: This includes such factors as "keeping up with the Jones," hard sell approaches by people within and outside the organization who are promoting management training, habit, and ego involvement of managers who are making the final decision to train.
2. Rational: This includes opinion polls, interviews, and group discussions with the future participants in an attempt to learn what the managers themselves believe they need for development.

3. Empirical: This includes performance evaluation, group criteria to divide prospective trainees into good and poor performers for the purpose of training, job analysis, questionnaires, psychological tests, and ratings by superiors.

Of the three categories, the authors suggest that emotional methods be avoided entirely, the rational methods be used for preliminary analysis, and the empirical methods be used as the final basis for deciding who and what to teach. There is a problem in this, however. The empirical methods "seem to be the most dependable, although we do not know enough about them to say which one is best. Moreover, we are not likely to know until we have many more facts at our disposal than a review of the literature disclosed to date" (Jackson and MacKinney, 1959).

Identifying needs for training

The U.S. Civil Service Commission suggests that the most effective method of determining training needs is to find what are "problems" in existence in the organization. Problems are defined as "things that go wrong or are undone in an organization, that become barriers to successful achievement of an organization's goals." Problems may be brought about due to excessive costs, waste, public dissatisfaction, internal friction and dissatisfaction, "buckpassing," and employee grievances. The problems, in turn, create needs, that is, "things that have to be learned, or done, or changed in order to overcome problems" (USCSC, 1956, p. 18).

To accurately define problems, actual performance should be compared to formal policies, work goals, plans, intended flow of work and work methods, employee assignments, and scheduled production. These are found through interviews and questionnaires directed to managers at all levels in the organization and to non-managerial personnel.

Before beginning training, three kinds of analysis are suggested to define aspects of program content (Bass and Vaughan, 1964, pp. 71-74):

1. Organizational analysis: This involves a study of the entire organization to include objectives, resources, allocation of resources in meeting objectives, and the total socio-economic-technological environment.

- a. Obtain clear understanding of organizational goals, including short and long run specific goals for each component of the organization. Because an organization is more or less faced with constant change, there is need to review regularly. "One of the major limiting factors of management development programs has been the seeming inability to translate general objectives into more detailed and specific targets...due in large part to the lack of hard knowledge about the elements of effective managerial behavior."

- b. Inventory of organization human resources and physical facilities.

- c. The organization should be examined as a social organization operating in a distinct social, economic, and political environment. This climate is a reflection of attitudes of its members toward their work, superiors, procedures, goals, and membership. These attitudes "are learned; they are a product of the members' experiences both within and outside the work environment....A management development program may be designed to effect certain changes in the organizational climate; however, it should be recognized...that the organizational climate will determine to a large degree the success of the development program and any projected change."

2. Operations analysis: This involves study of specific managerial positions to define content of the management development programs. Data must be collected concerning the management job and its purpose, its tasks, how the tasks are performed, and the behavior (skills, knowledge, attitudes) required. The elements become more difficult to identify and measure the higher one goes in the organization.

3. Man analysis: This refers to the analysis of the individual in the particular management job. Questions to be answered concern how well he is carrying out the job assigned, whether he is developing, and his knowledge, attitudes, and skills. Measurements may be made through objective records of job performance, devised situational measures, and observational measures.

In addition to the three areas of analysis listed above, additional questions need to be answered, such as: costs of training, availability of "expert" trainers, extent to which managers can be excused from their jobs from training, and the availability of training facilities.

Developing course content

After the surveys are conducted, the next suggested step is to provide the manager-trainees with an opportunity to participate in the development of a list of their own needs and to indicate the content they desire in a program. Small discussion groups may be used for this purpose. This technique is suggested only after the participants have already been through a basic supervisory training course. After the perceived needs are identified, they are sorted and grouped into related categories, and are classified into specific training objectives to meet these needs. Content

information for the course is obtained by job analysis, reference materials, use of specialists, etc. Methods of training should be selected on the basis of what is most appropriate to the content of the course and the needs of the learner. Finally, a course outline is developed (USCSC, p. 37). The basic suggestions for program preparation provided by the Civil Service Commission have been endorsed over a number of years. (For example, see Dietz, 1945; Reilley and Muller-Thyn, 1954; and Scholtz, 1964).

Evaluation of Management Development

Management appraisal

Appraisal of managers for selection and promotion has created much discussion but not complete agreement. At one time, it was believed that the use of individual traits might be the most meaningful criteria. In actual practice, however, it has been found that successful managers may possess a variety of traits, none of which may be consistent for all managers. Traits that appear to aid in success in one organization do not necessarily prove helpful in another; traits in one management position may not carry over to another. Even though there are those who side with the trait theorists, such evaluation appears to be lacking in popularity or substantiation (Stolz, 1958).

"Results" are the major basis of evaluation today. For example: "An executive's past and present performance is the most reliable key to his future performance....[The] executive characteristics appraised in development programs - leadership, initiative, dependability, judgment, getting along with people, ambition, and so on - do not necessarily measure a man's effectiveness on the job. Indeed, all too often judgments of performance under such plans reflect what is thought of the man rather than what he does" (Patton, 1960). Quantity of work, as for sales, output, scrap rate, and subordinate absenteeism, can be observed, measured, and understood. Quality of work may be more important than the quantity, but such measures are seen by Patton as being either difficult or even impossible to measure. Stolz (1958) agrees: the "'pay off' on any program is qualitative rather than quantitative, and both the costs and benefits are frequently indirect. [However,] the judgment is not an easy one, for the issues are complex."

Lack of adequate guidance

The observation by Ginsburg (1955) that it is difficult to provide concrete answers regarding the effectiveness of management development, is apparently shared by many as is seen in the statement by Moon and Harloon (1958): "remarkably few evaluation studies have been reported, considering the numerous programs now underway." The lack of

reports on attempts to evaluate management training programs has been concluded in a number of surveys of the literature (Adjutant General's Office, 1952; Castle, 1952; French, 1953; USCSC, 1956). Strauss and Sayles (1960) indicate that they have found only one study in the literature providing a measure of the effectiveness of training in relation to costs. Even that study (Likert, 1958), however, provides only vague data and the results are not conclusive. In a more recent survey, Schoeller and Feinberg (1963) have found that although some firms have become "virtual colleges," the training programs rarely contain any measures before, during, or after the course to determine either what the participants have learned or how the instruction has been applied on the job.

Evaluation criteria

Requirements.-Bass and Vaughan indicate that the major problems related to the evaluation of a training program are (p. 78):

1. Determining whether training has resulted in behavior modification.
2. Determining whether training has any relation to the achieving of organization goals.

For evaluation, criteria to judge training results should be on as an objective basis as possible and should be practical to implement. It must be "a vigorous procedure

which uses all the available relevant resources and experimental techniques" (Bass and Vaughan, p. 78).

Logically, the "objective [of evaluation] is to determine how well the training job has been done in terms of the needs of the supervisors and the organization, and the resources available to meet these needs" (USCSC, 1956, p. 95). Buchanan (1955) observes that the "criterion problem...becomes that of developing measures which either are directly related or can be shown to be indirectly related to changes in organizational effectiveness." In general "our evaluation results are estimates only and should be judged accordingly" (USCSC, 1956, p. 95).

Basis for measurement.--For evaluation of a training program as a whole, the following questions are recommended (Buchanan, 1955):

1. Were the goals of the program clear?
2. Were the changes which the program attempted to effect in the participants' behavior determined from a valid analysis of the needs of the organization?
3. Were the modes of behavior and the points of view learned in the program consistent with what the participants learn through their daily contacts with their superiors and consistent with management policy?
4. Was consideration given to the need for dividing over all goals into subgoals? Was the sequence for accomplishing subgoals a valid one?
5. How well was it determined that the training design of each phase of the program was the best one in terms of potential effectiveness, cost, time, etc., for accomplishing the subgoals?

6. Were predictions concerning what would happen in training sessions made on the basis of what research has shown would happen if learning occurs, and were these predictions checked with what actually did happen?

7. Did the training staff learn from its own experience? Mistakes can be expected; repetition of mistakes are "not ordinarily excusable."

8. Did the program design include methods for helping supervisors apply on-the-job what they learned?

To accomplish these ends, the following are criteria for an adequate evaluation of a training program (Kirkpatrick, 1960):

1. Systematic appraisal: The most important element is a before and after training appraisal of the manager on the job.

2. Appraisal should be made by: The trainee, his superior, his subordinates, and his peers.

3. Statistical analysis: Results can be truly meaningful only to the extent that the before and after measures of change are verified statistically.

4. Post training appraisal: In addition to the after training measures, a subsequent measure should be made "three or more months" after training to determine the amount of subsequent development and carry over.

5. There should be a control group whose members do not receive training so that their performance can be compared to that of those receiving the training.

Related to point number 5, Buchanan (1955), while accepting the importance of control groups, points out that "in most organizations it is practically impossible to obtain groups which can be matched in such a manner that all factors other than the incidence of training can be control-

led." While the measurements of training "should be as rigorous as the situation permits...[the] evaluation which fails to meet the requirements of the ideal experimental design can still be meaningful." For any type of organizational analysis, Etzioni (1960) warns that measurement tools or models can be "stereotypes" and, thereby, will show "only what the model will permit." The "good" model should differentiate between the "real" and the "ideal."

Problem study.-To design and conduct a research study, the following steps are recommended (USCSC, p. 96):

1. Identify the problem to study.
2. Identify and isolate the variables to be examined, such as the amount of training received, the accident rate, or turnover.
3. Construction and pretesting the measurement instrument.
4. Selection of the groups to study.
5. Taking the measurements.
6. Develop standards of performance.
7. Study the total setting of the organization.
8. Collect and organize the data.
9. Analyze and interpret the results.

Learner classroom progress.-The following guide is for the evaluation of the participants' progress during the course of the training program. The goal of training is for increased knowledge, increased skills, changes in

expressed attitudes, indications of interest, the degree of participation, and the acceptance of the training program itself. In general, this is found by (USCSC, p. 100):

1. Equivalent forms of the same test before and after training.
2. End-of-course information test based on course content material.
3. Before and after attitude questionnaire.
4. Participant's appraisal questionnaire.
5. Participant's attendance record.
6. Amount of participant participation.
7. Extent to which trainees bring questions and problems to the class or to the trainers outside class.
8. Reports to the training group by a trainee observer as to the group's effectiveness.
9. Reports prepared by the training officer.
10. Reports prepared by outside observers.
11. Interviews with the trainees' superiors to learn of any on-the-job behavior changes.
12. Direct follow up observation.
13. Comments made by the trainees.

Learner on-the-job progress.-It is of primary importance that appraisal be made of the effects of the training sessions in modifying the participant's behavior on-the-job. The major items to observe are the transfer of instruction in terms of changed behavior from the classroom to the job, and changed attitudes. In terms of these changes, it is

also important to know their extent and duration. These results may be measured by:

1. Asking the trainees about their own behavior and attitude.
2. Surveying the trainees by questionnaires periodically after training.
3. Interviews or questionnaires to obtain concrete illustration of behavior or attitude changes.
4. Attitude surveys.
5. Ask the participant his evaluation of his own change.
6. Ask the participant's superior about his change.
7. Conduct post training meetings with the trainees to review their progress.
8. Conduct observations on-the-job.
9. Review records for such information as turnover, grievances, production, waste, customer complaints, training time required for new employees, etc.
10. Compare merit ratings of those who have received training with those who have not.
11. Job measurement.
12. Performance standards.

Organizational progress.--The end result of a total development program should be related to its over all impact on the total organization. Measurements should be directed toward improved supervisory force, improved interdepartmental functioning, improved productivity and morale, improved communication, increased customer satisfaction, an adequate reservoir of talent for promotion and expansion needs. These

factors can be at least partially measured by (USCS, p. 102):

1. Management audit.
2. Inspections.
3. Survey by special committee.
4. Questionnaires.
5. Morale surveys.
6. Records.
7. Customer surveys.
8. Budgets, accounting records, costs, production records.

Likert (1958) has provided a guide of appropriate areas of management measurement. Emphasis is different from some of the authors already noted. Likert believes that measures of such factors as productivity, sales, profits, and percent of net earnings to sales are "less important." He suggests that managers "who are getting the best results are systematically deviating from this traditional theory in the operating procedures which they use." This is not to indicate that these managers are ignoring such tools as cost accounting: "quite to the contrary, they use them. But they use these quantitative tools in special ways - ways that achieve significantly higher motivation than is obtained by those organizations who adhere strictly to the methods specified by the traditional theory of

management." Likert suggests that "the kinds of variables which are not being measured in some companies or for which satisfactory measuring instruments can be developed" are:

1. Extent of loyalty to and identification with the organization and its objectives.
2. Extent to which members of the organization at all hierarchical levels feel that the organization's goals are consistent with their own needs and goals and that the achievement of the organization's goals will aid them in the achievement of their own.
3. Extent to which the goals of subunits and of individuals are of a nature to enable the organization to achieve its objectives.
4. Level of motivation among members of the organization with regard to such variables as:
 - a. Performance, including both quality and quantity of work done.
 - b. Concern for elimination of waste and reduction of costs.
 - c. Concern for improving product.
 - d. Concern for improving process.
5. Degree of confidence and trust among members of the organization in each other and in the different hierarchical levels.
6. Amount and quality of teamwork in each unit of the organization and between units.
7. Extent to which people feel delegation is being effectively achieved.
8. Extent to which members feel that their ideas, information, knowledge of processes, and experiences are being used in the decision making processes of the organization.
9. Level of competence and skill of different groups in the organization to interact effectively in solving problems and other tasks.

10. Efficiency and adequacy of the communication process upward, downward, and sidewise.
11. Level of leadership skills and abilities of supervisors and managers including their basic philosophy of management and orientation toward the processes of leadership.
12. Aptitude scores of the members of the organization to measure improvement over time of hiring practices and improvement of the performance of employees on the job.

Cautions.-Likert (1958) warns that the "measurement of these variables [the twelve measuring instruments listed above] is a complex process and requires a high level of scientific competence. It cannot be done by an untrained person....Nor can it be done simply by asking people questions that have not been pretested or by handing them a ready-made questionnaire." However, Bolda and Lawshe (1959) point out that although difficulties associated with evaluation have generally been great in the area of human relations training, where criteria are both vaguely defined and unobtainable...the idea of using inventory or test responses in pre- and post-training situations has received some attention...[and] have been found favorable."

Whatever methods of measurement are used, Traxler (1960) suggests that while they properly must be analytical in nature, all measurement tools tend to be colored by personal judgment. They all involve a certain amount of guesswork, include some bias, and will probably contain some

errors. For very practical reasons, he argues that the measuring devices used should be simple, uniform, easy to use, and easily understood.

CHAPTER XX

MANAGEMENT DEVELOPMENT IN THE HOSPITAL

Introduction

Attention can now be turned to management development as related specifically to the hospital. Discussion of techniques in Chapters XXI and XXII will indicate some of the approaches used in hospitals.

It will be noted that there is a great similarity in philosophy and approach between the hospital and other types of organizations. It is, nevertheless, of considerable importance for this analysis to be aware of what, specifically, is being discussed in the hospital field.

Considerations of Management Development

Definition

There is some uncertainty, apparently, as to what inservice training is. As "one attempts to ferret out exactly what is meant by 'in service education' the only answers seem to be vague generalities...considerable confusion as to the specific purpose of such a program...more confusion in defining its content, scope, and the methods to be used in carrying it out..." (Sr. Mary Ann, 1962).

Few seem willing to take up the challenge. The author quoted, after criticizing others for not providing an adequate definition, states: "This article will not attempt to answer the question posed."

Accepting the statement that management development "enhances the manager's abilities to cope with his present responsibilities, while it may be used to equip some to take on greater responsibilities" (Martin, 1964), the following definition by Hullerman (1956) is appropriate: Inservice training is "education or training which a hospital formally plans and conducts for its permanent personnel to enable the individual to do a better job of service to the hospital...." A definition directed toward the philosophy of management advocated in this presentation visualizes inservice training as "a well defined and well developed system for two-way communication. It is a method whereby administration and staff may reach a common understanding about effective and satisfying job performance" (Simms, 1954).

Need for inservice training

"Continuing education is probably the most important and necessary item in the administrator's agenda. Most new administrators, assistants, and business managers are in very responsible positions, and they must be equipped with the skills and insights to insure this responsibility successfully. They must not rely too heavily on the formal

education but use this as a basis, a stepping stone to more complete knowledge and mastery of the job" (Hisle, 1962). Whatever the education program developed, it must be directed ultimately to one final goal: "The hospital is a conglomeration of many professions and skills and the forces tending to keep it disorganized can only be met by some concentration on a common goal. This goal of patient care then becomes one of the best potential motivations for supervisory, worker and administrative development" (Taylor, 1958). The "best place to set up a training group in supervisory techniques is the hospital itself" (Ritvo and Oram, 1961). Other alternatives, while seen as being valuable on a supplementary basis, are limited in what they can contribute. Specialty schools may not have time for effective management training, and regional workshops do not allow for a setting that permits the solving of real, personal problems which require cooperation between departments. From previous discussion, it appears that such an approach is well endorsed by those who have studied and been concerned with programs of management development.

The challenges of developing managerial personnel in the hospital may be more difficult than for many business firms. This is because "instead of placing supervisors on their jobs because of proven ability and experience in the crucial boss-worker relationships...we are necessarily

requiring technical specialists with certain academic degrees to perform this function of supervision....Our problem is further complicated by the shortage of these specialists to the point that most hospitals do not enjoy a selection of supervisors, but instead appoint supervisors solely on the basis of academic achievement" (O'Meara, 1957). These practices and restrictions are brought not only by certain practical considerations within the hospital itself, but are somewhat forced on the hospital by certain professional and governmental controls through standards, laws, regulations, and accrediting requirements. The result is that "ours is not a screening or selective job, but one that will develop traits and skills, and add to the existing ability of our supervisors" (O'Meara).

As discussed in Part I, the Catholic Hospital Association has compiled a list of training needs perceived by hospital managers themselves. The importance of this study, leading to management development, was based on the conclusion that "faced with the challenge of providing service of higher quality at lower cost while operating a minimum number of hours under higher wages, today's administrator can meet the challenge only through the development of a supervisory force which fosters favorable employee attitudes toward the job, the department, and the hospital itself" (Christopher, Nov., 1964). The emphasis on management

development has resulted from the "obvious examples of inadequate patient care in hospitals where there was no deficiency in technical and professional competence. But because of improper planning, inadequate organization, lack of coordination, poorly motivated personnel, and the absence of programs of measurement and control, competent personnel were unable to perform..." (Christopher, Nov., 1964).

Objectives

For all hospital employees, managerial and non-managerial, Hullerman (1956) provides the following goals of inservice training:

1. To increase employees ability and skill on the job.
2. To increase his desire to do a better job.
3. To increase his capacity to adjust comfortably to his associates and his environment.

For management, specifically, Martin (1964) suggests development should be directed at the development of abilities to "adapt to changing situations, to innovate and appraise new patterns of action, to adopt appropriate roles of behavior when confronted by problems. In short, development is needed to enable hospitals to benefit from the full human potential in their employ. Higher levels of commitment, morale, and productivity can be achieved. At the same time the employees will experience greater satisfaction in their work, from feelings of accomplishment, involvement,

and contribution to the total objectives of the organization."

"A great deal of inservice training is being given in hospital departments but in few, if any, has there been established an over all point of planning, goal setting, educational consultation, coordination and guidance..." (Hullerman, 1956). A complete development program in the hospital, as seen by Hullerman, would consider the following:

1. Training is provided to those who are considered to be permanent employees.
2. Training will have the objective to improve the quality and quantity of performance on a specific job.
3. Training can prepare the individual for a change in position or for a promotion.
4. Training can advance the individual's ability to use new methods or procedures.
5. Special training can be provided to clinical specialists.
6. Training is to be provided in various management fields, such as methods improvement, human relations, supervision, etc.
7. All training should be organized, coordinated, and carried on according to a specific development plan of the hospital. It is not seen as being sufficient for a number of departments to carry on isolated in service training.

The goal is "better patient care through better management" (Christopher, Nov., 1964).

Management skills

Martin accepts the "developable skills" - technical, human, and conceptual - identified by Katz (1955) discussed earlier, as being appropriately applied to hospital management and which should be developed within the hospital. Martin believes that the technical skills of the manager are probably the less difficult to teach. Of the three skills, the individual is best able to appraise his own technical performance. Martin questions more the ability to teach others the human skills. He finds that the "natural tendency to rely on a few 'gimmicks' (a 'how-to-do-it' approach), including 'democratic group leadership'..." fall short of adequate training. He suggests that a different approach is needed, one which is more flexible so that it will be adaptable to both (a) crisis situation, with positive, centralized authority, involving little or no subordinate participation; and (b) situations where participative leadership is possible and desirable. That is, the situation, not a given leadership technique, should govern the manager's actions. This is agreed to by O'Meara (1957) who argues that the effective management training program should not seek "standard answers and formulas," but should be developed "within a framework of their own conceptions of leadership, determined by their own standards and their own experiences." For the hospital manager, Martin relates

conceptual skills to his ability to organize his perception of the world, to developing wide interests, to having a feeling of political responsibility, to an aesthetic appreciation of the social side of his position, and to development of a personal philosophy.

The Hospital Management Training Program

Difficulties and unintended consequences

The introduction of management development programs into the hospital may often be resisted. "Perhaps one of the greatest difficulties in implementing these objectives was the complete lack of insight by the majority of administrators and other levels of supervision in hospitals as to the role and function of management."

The difficulties of program introduction in the hospital are exemplified in an article by Loud (1958) describing an actual situation. Hospital management tended to resist any suggestion that their activities related in any significant manner to "business management"; many felt there was little value in bringing together supervisory personnel from the several hospital departments in one program because of the feeling that each department had its own unique and dissimilar problems. The "traditional" lecture and limited discussion methods met with little success. Even when the "new human relations approach" was

introduced and was met with general "enthusiasm," three management participants dropped out. One of the three was quoted as saying, "I am glad I was educated when we had a rule, a text book, and a definite answer to problems. I do not see this approach at all. I've got a lot of work to do and too many personal problems to spend my time on this sort of thing."

Even when managers accept the new approach there may be some problem of introducing it to the subordinates in their department. A disappointing, although humorously presented, example of this is provided by Ransohoff (1958). Through role playing sessions, a nursing supervisor had learned to change her method of behavior. "The results were disastrous. Something went wrong on her unit and Mrs. Smith hadn't 'blown her top.' Instead she called the employees together and asked them what could be done to avoid this type of thing in the future! This was change, sudden change. As a result, the employees felt threatened. They were not able to predict what was going to happen next. Small groups met to discuss her conduct. One employee remarked, 'Poor Mrs. Smith. The old gal must be cracking up.'"

All hospitals may be affected by the problems just mentioned. The small hospitals - and most are - have additional problems when it comes to training. "Generally there are inadequate facilities and personnel within the small

hospital to conduct well-rounded in service educational programs for department head personnel....[Therefore,] regrettably, small hospitals are making an inadequate contribution to education in the hospital field" (Bruce, 1962).

Positive results from training

Ferrell (1962) questions whether there is an immediate return on the investment in development programs, but justifies the programs on the basis of long term objectives. Reporting on the results of a training program for supervisory nurses, Linville and Hudson (1963) suggest that results may not be long in coming. The "number of unsolicited letters praising the service of the hospital has tripled over the last 18 months; and we have not been forced to increase our room rates or daily service charge for 2 years, even though our current rate is among the lowest of comparable hospitals [in the state]....The most dramatic result has been a continuing month by month reduction in the average cost per patient per day, in nursing as well as throughout the hospital."

Trainers

It is suggested that the most effective method of introducing and perpetuating training is for the administrative level to instigate the inservice program, but to have training specialists design them. Hullerman (1956) visualizes

that a hospital training director will work with the various hospital departments in a clearly defined capacity. Duties of the training director would include developing over all planning, evaluating and coordinating programs, providing consultation, being available to offer assistance, and conducting certain of the inservice courses. At the time, however, the author could only state: "I know of no hospitals which have gone this far with their inservice organizations." For guidance, Hullerman believes that a hospital of 500 employees could afford a full time training director; more recently, Merritt (1960) has suggested that a hospital of 400 employees is of sufficient size. For smaller institutions, it is suggested that the duties of training director could be part of the permanent responsibility of one of the employees in combination with other duties, or that a number of smaller hospitals could share the services of a full time training director. Because of economic pressures and the increased need for improved standards, Merritt argues that inservice training demands a "full time staff function." The writer makes a strong case by reminding his reader that the hospital's payroll is its largest single cost item, and therefore concludes that developing the efficiency of its personnel should receive priority attention.

When an effective program is introduced, the "size, the type, the locality and the purpose of the institution

seem to place no limitations on the effectiveness of the training program provided the group leader is qualified" (Christopher, Nov., 1964).

Criteria for training

Christopher (Nov., 1964) provides the criteria necessary for implementing an effective management development program in the hospital. The similarity of this list to others presented for business firms should not be surprising at this point in the discussion. Among the criteria are:

1. A need to define the role of management in terms acceptable to all of the hospital's management.
2. A need to determine training requirements for both the individual manager and for the management group as a whole. Strengths and weaknesses, alike, need to be identified.
3. The manager, himself, must see the necessity of training before it can be effective.
4. The training must be "personalized" for the individual manager.
5. There is a need for emphasis on managerial accountability. This is accomplished by requirement of top management that subordinate managers apply the techniques learned in training and that they be measured in terms of the results of their efforts.
6. Training must be begun first at the top levels of management, and then move to the lower management levels.
7. A pause should be allowed between training sessions for each level of management. This allows each subsequent level of management to apply the concepts which they have learned to their subordinates before the subordinates, in turn, receive their training.

8. Active participation and ego involvement by each participant is required for effective training. This is contrary to the "typical hospital approach" of the "sit and listen" method.
9. Learning is to be seen as essentially self development. The training program must provide an atmosphere in which the participants develop themselves. It is the manner in which the material is presented, rather than the quantity of material, which changes behavior.
10. "...no industry today can depend on society to produce the exact individuals their enterprise requires for future development, expansion and growth. The individual business must accept the necessity for training and development of its own future leadership." Therefore, when considering the advantages of training versus the inconvenience of training, it must be survival not profits which justifies the cost, time, and effort involved in the program.
11. As a basic philosophy, it must be accepted that appropriate decentralization involves having problem solving and decision making being made where the problem occurs or where the decision is to be put into effect.
12. As part of the philosophy, also, "management should be looked upon as its own profession, regardless of the technical or professional training of the individual...."
13. The job of training hospital managers is so extensive that more training specialists need to be developed.

Course content

Consolidating the results of the Catholic Hospital Association study, nine major areas were indicated by the hospital managers as desired for a management program. As observed by Christopher, this list does not indicate a desire for training in the field of technical speciality, but expresses a felt need for training in areas dealing with their managerial role. The nine areas are (Christopher, Nov., 1964):

1. Management.
2. Leadership, to include executive characteristics and action, supervisory responsibilities and techniques, and executive and supervisory selection and training.
3. Communication.
4. Job planning and distribution, work measurement, and delegation of authority.
5. Employee relations, to include human relations, motivation and morale, personnel policies and practices, employee selection, placement, and rating.
6. Training.
7. Cost control and economy, including budgeting and budgetary control, and work simplification.
8. Facilities, equipment, and supplies.
9. Safety.

Conclusions

As concluding comments for this section, the following statements are significant in directing management's attention to the problems involved in designing and conducting an inservice management development program. There is "a great deal to be done before the full potential of a good program can be realized and its usefulness evaluated so that it can be altered to make it more effective in the achievement of its purposes and goals" (Donovan, 1956). Finally: "There is no way of knowing the inservice needs of a particular institution until they have been thoroughly analyzed" (Lambertsen, 1962).

CHAPTER XXI

TECHNIQUES OF MANAGEMENT DEVELOPMENT

Introduction

To this point, the approach has been to consider aspects leading up to the development of a management program as well as some of the philosophy of what a program should be. Goals and objectives have been suggested. It is of interest to review the more common techniques in use today. The following discussion presents specific types of training devices and approaches. Unfortunately, only a small percentage of articles provide guides to specific, total programs; more commonly, the literature provides only a general discussion and evaluation. Not all in the field evaluate the effectiveness of certain approaches with the same enthusiasm.

It is to be recognized that any one technique discussed is not intended to imply it is used exclusively in any program; the most common approach is for a combination of two or more techniques.

The sequence in which the various training techniques are presented is believed to be logical, but is not intended to necessarily imply an evaluation of either sophistication or effectiveness.

Before looking specifically at various techniques, it is well to keep in mind the framework in which the training is to be accomplished. Much of what has been presented previously has been intended to provide such an orientation. Gray and Sorenson (1954) point out that generally training, for non-managerial positions, requires:

1. Preparing the trainee: This is accomplished by describing the job and developing interest.
2. Presenting the operation: This includes telling, showing, and illustrating how the job is to be done.
3. Tryout performance: Letting the trainee practice what has been presented.
4. Follow-up: Checking the trainee's performance.

The authors observe that if this approach is sound - and what has been discussed thus far would indicate that it is - then it should hold as well for all forms of learning. However, "in the training of management personnel...tryout performance has usually been skipped."

The authors find it is not enough to simply tell the trainee in the classroom what is expected of him on the job and then to return him to the work place without further guidance. "It is admittedly difficult for a foreman to practice on his job....While he may learn on the job, this learning is at the expense of himself, his subordinates and the company as a whole" (Gray and Sorenson, 1954). Mold (1954) adds: "The only efficient technique of training is for the individual to do the thing to be learned."

Additional cautions are important in considering the use of a given training technique. The effectiveness of the learning experience is conditioned by "the basic ability, attitudes, interests, and motivations with which the participants approach the experience....[It is] also directly proportional to the amount and quality of discussion; the extent of participation and interaction with the thinking of associates, faculty, and guest speakers; and the effectiveness of the participants' habits of listening.... Particularly in the longer and more intensive courses, it is normal to expect confusion or frustration at the outset, temporary and periodic lapses in interest and attention, and some degree of apathy or impatience at the end of the program" (Houston, 1961, p. 71). "The effectiveness of the learning experience can be seriously affected by the common tendency to attempt too much territory in too short a time.... The program must either allow sufficient time to treat the subject matter of the course in sufficient depth to provide an opportunity for real learning to take sufficient interest, enthusiasm, and effort to motivate the participant to continue to pursue the subject upon his return to the job through further study, planned discussion, and application and by supplementary or refresher courses as appropriate" (p. 73).

Training Techniques

Lecture

General.—The lecture method of instruction for classroom presentation appears in some form in most programs. The purpose of the lecture is to present background information to trainees. This approach allows the trainer the greatest amount of control because he can present the material he chooses in the sequence he desires. The lecture is "without question easier and less painful for both instructor and trainees" than most forms of training (Bass and Vaughan, p. 63).

The lecture is an economical means of imparting information to large numbers of people. It has definite disadvantages, however. It provides one-way communication only. "The instructor presents information verbally to a group of trainees who listen passively...[with] little or no opportunity to clarify meanings, to check on whether or not trainees really understand what is being presented, or to handle the wide diversity of abilities, attitudes, and interests that may prevail among the trainees. Also, little or no opportunity is given for practice, reinforcement, knowledge of results, or overlearning" (Bass and Vaughan, p. 81). The lecture can become boring to the trainees; it is found that often those who are able to hold the students'

interest are more entertaining than instructive. In many cases it has been found that lectures are actually resisted by trainees.

One author has been found in the recent literature who has risen to the defense of the lecture (This, 1957). He argues that "even in the currently more popular presentation methods, it is talk, speeches and personalities, that largely make for effect. The lecture is simply longer and more formalized, that's all." As with any method of presentation, preparation is the key. "What we need to do is to spend as much time improving the lecture method as we spend on any other training device....Utilizing a speech effectively requires hard work in planning and preparation. Too frequently we find it much easier to utilize a 'canned' aid than to think and work at good lecture organization and improving our ability as an effective speaker."

There are qualifications recognized for the use of the lecture, however. "A lecture is effective if you really have something you want to communicate to your listeners, if your audience has been properly motivated and is ready to hear you say it, and if you extend to the audience the same courtesies you would accord them in a private conversation" (This, 1957). It is to be recognized that the most severe critics of the lecture attack this method because, generally, the audience has not been properly motivated

before the lecture and few have the ability through lecturing to provide the motivation.

At best, it would appear that the lecture cannot stand alone. It should be supplemented by a transcript of the talk provided to all the listeners, and should be followed by group discussion to allow for member participation and feedback. Houston suggests that the burden of proof rests with those advocating the lecture; those using the lecture should first ask "what does the lecturer add that could not be found by reading and discussion" (Houston, 1961, p. 60). Finally, it is to be kept in mind the conclusions of Bass and Vaughan (p. 81): "all available evidence indicates that the nature of the lecture situation makes it of minimal value in promoting behavioral or attitude change."

The hospital.-There are evidences that there are those in hospital management who both accept or reject the lecture. In a six week hospital "executive development" program, LeRocker and Anderson (1959) report that, to their surprise, "the lecture method was predominately favored [by the participants] as the basic technique. The desire to 'sit at the feet' of persons who have spent much of their lives dealing with special areas of knowledge or activity easily predominated over the urge to throw oneself into a continuous give and take." However, the same authors point out that these lectures were always followed by question and answer periods.

The favorable results of lecture reported above were by the hospital "executive," who may not necessarily be characteristic of many managers in the hospital. More to the point, perhaps, is the report of the reaction of a group of nursing supervisors. There was a "great deal of skepticism in the beginning [of the course] when supervisors thought they would be sitting through 'another university course' [lecture]" (Harrstick, 1963). In explaining why inservice training was introduced into the hospital rather than turning to a university, O'Meara (1957) points out that the academic faculty provided mainly lectures, and the supervisors desired to learn skills which "could only be learned by practice and participation." In a training program on human relations, it was concluded that both "directive lecture" and "nondirective approaches" tended to produce similar positive training results (DiVesta, 1954). However, it can be inferred that the "directive lecture" would be taken to mean a lecture followed by an instructor led discussion.

Discussion (Guided Conference, Problem Solving) Technique

General.--This method refers to planned meetings with a specific purpose and goal, requiring participation from the trainees. To be most successful the topic for discussion should be directed toward some felt need of the

participants themselves - not to some topic arbitrarily selected by the trainer.

"Although this method may be used for a variety of objectives, it has proved particularly suitable for the trainees' acquisition and understanding of conceptual data and for the development or modification of attitudes' (Bass and Vaughan, p. 83). Discussion in small groups is likely to be the most effective. Discussions are valuable for clarification and amplification of material presented. It can be combined with other methods; as has been suggested, discussion can follow a lecture to allow for questions to be raised, to share opinions about the lecture material, and to consider alternatives. One method is to divide a larger lecture group into smaller groups for more effective discussion, and have a spokesman for each group report the results of the discussions to the main body.

Discussion is valuable in that it provides for two way communication, tends to increase motivation, allows for the checking of errors, can be used as a gauge to check group reaction to new ideas, and generally tends to increase both immediate learning and subsequent retention. "What one discovers for himself, he does not soon forget....Generally, if the learning on the part of the trainees is to involve changes in values, attitudes, and social beliefs, then participation, discussion, and discovery are more likely to

be effective than lectures or other directive means" (Bass and Vaughan, p. 63). "Acceptance of change is facilitated by permitting trainees to explore the situation, select and evaluate alternatives, and work toward a consensual decision as the basis for deciding how to modify their own behavior, attitudes, and values" (Bass and Vaughan, p. 64).

Bennet is one of the more severe critics of this approach. He believes that, at best, the discussion is the mutual sharing of "know-how" and "prejudices." He also finds a great deal of tension is present in such sessions (Bennet, 1956).

As a guide to the leader, McFeely and Mussmann (1954) point out that "most executives want to arrive at a conclusion as to the 'right' action. The indeterminate type of problem used solely to promote thoughtful discussion of the factors involved in a situation, without an attempt to come to a conclusion is useful with groups which are ready, from the standpoint of training or experience, to accept that method. In most groups, however, there is a strong desire to reach a reasonable definite answer to the problem as presented."

It can be argued that any weaknesses this method may have, or any strengths it may have, are directly related to the effectiveness of the leader. It is his role to ask questions in a manner that members can discover their own

answers and then to evaluate their answers. It is to be recognized that the leader's skill, education, and personality all have an effect on his ability to decrease resistance to change, in modifying attitudes, and in promoting the learning of new behavior. The leader has the additional responsibility of holding down some members who dominate the discussion and to draw out others who are not making a contribution. "The conference or discussion technique, then, is not for the beginning trainer. It requires skill, ingenuity, and - above all - careful preparation" (Bass and Vaughan, p. 84). It is also suggested, however, that the "zest with which almost any group will tackle a problem makes the leader's function largely one of control" (McFealy and Mussmann, 1954).

Guidelines are necessary even in a group discussion to provide a systematic approach to problem solving. The following is one accepted guide (Allen, 1952):

1. Presenting the general nature of the problem.
2. Defining the problem.
3. Analyzing the problem.
4. Deciding the possible solutions.
5. Making a final recommendation as to the action to be taken.

Areas of productive discussion have proven to be information gathering, analysis of group processes,

reassessment of oneself, growth of personal perception, and reassessment of personal values and goals (Leavitt, 1952). These are in addition to the more obvious topics related to technical on-the-job problems.

Working with the group, the leader must keep in mind that his role and the purpose of discussion is to (Houston, 1961, p. 69):

1. Lead to sound analysis: Analysis is more important than either finding the "right" answers or in developing principles.
2. Allow the group to search for solutions: The leader should neither dominate the discussion nor obviously steer the group.
3. Stimulate the group to find the "real" problem.
4. Recognize divergent points of view and to explore and evaluate alternative courses of action.
5. Draw on member experience.
6. Encourage the group in thinking about problems as they affect the total organization.
7. Consider both short run and long run results.
8. Encourage the group to look for information that is necessary for good analysis.
9. Develop in members, through discussion, a better understanding of the usefulness and application of principles.
10. Stimulate participation by all group members.
11. Effect change, develop new attitudes, and to develop new thinking habits.

Participant reactions to discussions will depend on (Houston, p. 70):

1. The members' understanding of the educational objectives and processes.
2. The amount of frustration that develops from the problem of adjusting to new surroundings and to intensive reading, study, thinking, and discussion.
3. The members' reactions to having firmly held ideas or beliefs challenged by others.
4. The reactions to given subject matter and the pace with which it is introduced and discussed.
5. Each member's reaction to the administration and faculty of the training sessions, and to the other participants.

The hospital.--As has been suggested (Harrstick, 1963; O'Meara, 1957), hospital managements generally prefer individual participation and group interaction over straight lecture. It has been pointed out repeatedly that for an organization to be effective it must have group interaction and coordination. The skills and attitudes for coordination can be developed in the classroom. One of the most encouraging examples of this found in the literature occurred in a hospital. In one hospital, groups were formed for "problem solving in nursing." As the sessions progressed, "members saw an increasing need to include, particularly at critical points, consulting allied professional health team members...with their attendance at group conferences, a valuable and helpful interchange of ideas was gained..." (Knowles, 1963). Because group members were from the same hospital, some work problems were solved in the class sessions. Therefore, not only does the class session allow for

structuring in such a way that members are brought together for mutual support, but the classroom situation itself may actually allow for insight on the part of members of the value for interaction and coordination between various groups.

Group (member) centered leadership

Argyris compares the results of a "leader centered" versus a "group centered" class. He finds that most training is leader centered which means "the appointed training leader solves the important problems for the group members. He keeps them on the even keel; he knows exactly what to do with the 'loudmouth,' or the silent member. When the conference bogs down because of high emotions, the trainer clears the air and helps the learning process to continue. [However, by such a process] the leader grows, the leader learns, the leader senses the wonderful feeling of success involved in group growth and progress" (Argyris, 1954).

Many would consider the group centered approach as an extension of the discussion. The group centered approach is an attempt to overcome weaknesses of the conference method which tends to cause dependence on the leader. The basic assumptions behind this method are that there is a value in face-to-face relationships, that members bring their own attitudes and personalities to the class, and, within limits, the members have an awareness of themselves and the other group members. The most fertile ground in which this approach

can operate is where the participants see a need to change and when they have the emotional and intellectual desire for personal growth (Argyris, 1954).

No matter how threatening the class situation, it is not as threatening as the real world in which the managers must function. Argyris reminds the reader that life is full of conflict, emotions, embarrassing situations, misunderstandings, and deadlocks. These situations are the "real cause of human relations problems" on and off the job. "Why are we avoiding them? Why are we teaching group members to learn to rely and to depend upon the trainer to solve the problem?...Do we desire to create 'trainer dependent' people or people who become interdependent with their own group?...Why are we not confronting the group members with their emotional problems?...trying to get them to solve their own problems with their own resources?" Argyris suggests that the answer is the group centered approach. "We assume, therefore, that if people learn to solve these problems in a training group, they will be able to solve similar problems away from the training situation" (Argyris, 1954).

There is an assumption underlying this approach that the most effective leader creates situations in which he does not necessarily give the appearance of leadership. The leader attempts to create a situation of participation, freedom of communication, nonthreatening relations, warmth

and empathy, attempts to understand meanings and intentions of each member's contributions, feelings of acceptance of all members, and a linking of ideas together in a meaningful, acceptable whole. If successful, the results can be expected to be (Gordon, 1951, p. 323):

For the individual:

1. A feeling that he is understood.
2. A feeling that he is accepted. This causes him to become more secure, spontaneous, less defensive and withdrawn, and generally increases his self confidence.
3. An increased feeling of responsibility.
4. A gaining of greater self understanding.

For the group:

1. A change from ego centered to group centered thinking and goal setting.
2. An increase in spontaneous expression of feelings and meanings.
3. A decreased dependency on the leader which permits more creative thinking and more productive work.
4. A greater willingness to accept the standards set by the group.

It must be accepted that the results listed above are desirable for an organization before it can be accepted that the technique is useful. However, to a greater or lesser degree, most of the more recent approaches to management development include at least some of the above as desirable results of an effective program.

Laboratory training (sensitivity training, T-groups, D-groups, action training)

Sensitivity training has as its goal the aiding of the individual in obtaining an improved picture of the kind of person he is, a better understanding of the effect he has on others, and the recognition of his own defensive behavior and his blind spots. The individual has an opportunity to check the accuracy of his perceptions about others. The emphasis is on human relations skills. The training is carried out as a group process.

Problem situations are either presented to the group by the leader or are prepared by the group themselves. Discussions that follow allow the members, under guidance of the leader, to analyze their own feelings and the feelings of others in the group. A permissive atmosphere is encouraged (Weschler, 1955).

This method has been most popularized by the National Training Laboratory of the National Education Association (National Training Laboratory..., 1953). It is certainly the most controversial educational approach currently used in management development programs. Its goal is to "expose and modify certain values held by typical executives, values, which, unless modified and added to, serve to impair interpersonal effectiveness" (Argyris, 1964).

Initially in the sessions, there is no agenda, no structure, and no agreed upon procedure. The trainer does

not direct the group but provides a variety of problems to be discussed. He also provides opportunity for the trainees to participate in role playing and simulation. As the trainees fumble and finally come to grips with problems, they begin to develop procedures, goals, and group norms. Under guidance of the leader, the members observe the developments of their own group.

The types of issues the group usually must face deal with the decision making process, whether or not to appoint a leader, the handling of a deviant member, and member conformity and loyalty. Such problems develop because in the early stages of the program the members find there is no built-in power structure, no formal control, and no pre-established organizational influences as found in actual organizations. When little is accomplished, members tend to become frustrated. In meeting these unstructured situations, the individual begins to learn more about himself and his relations with group members. Eventually, in attempting to arrive at solutions, the members begin to learn about group functions, they become more effective in diagnosis, and they develop more effective leadership techniques. This learning comes from experiences within the group, not through guides by the leader.

Because participants learn to work more effectively together, laboratory training may be valuable in a company

training program. Training with company personnel "is likely to have a greater impact, since it permits consideration of the various human relations issues within the context of the organization....It is customary, in this kind of program, to make up the training groups from 'diagonal' slices of the organization. Both supervisory and subordinate levels are represented, but no man is in a group with his own boss.... [However,] some organizational training laboratories have made up purposely of 'family' groups - men who work directly with others in the company in superior-subordinate relationships" (Bass and Vaughan, p. 97).

The laboratory approach does not attempt to teach a particular form of leadership as do some methods. It is for the individual to decide what behavior pattern is the most effective for himself.

Argyris does not believe this approach is a cure-all, however. It has weaknesses. Those participants who derive the most from the sessions tend to have strong egos, have low defenses, and have the ability to communicate with others. The most successful groups are those made up of members with high mental health; in other words, those who derive the most from this training are those who need it least (Marrow, 1964, p. 50). Also, it is questioned whether this approach will work in all organizations without changes in the organization itself, and it is questioned whether all

firms would benefit from its introduction. As a further weakness of this approach, it is observed that "certain of our memories are inaccessible to recall because of the way in which they relate to our personal problems....For example, the supervisor in a sensitivity-training laboratory who is told by his fellow trainees that he is extremely aggressive and authoritarian may successfully repress this new learning because it is too threatening to his own self image of a permissive, understanding supervisor" (Bass and Vaughan, p. 66). The very techniques listed as strengths by the advocates of this approach are what are considered by Whyte (1953) to be its weaknesses. After observing a number of groups at the National Training Laboratory at Bethel, Maine, Whyte generally indicates a skepticism about the results. He found the groups to be generally frustrated, confused, and disorganized. Because there was no recognized leader, goals, or structure, members were "preoccupied" with creating a group. Whyte suggests final results would have been more positive if trainers had provided more guidance in creating an organization structure.

Of the various training methods discussed here, McGregor (1960, p. 221) believes laboratory training to be the most effective in creating improvements in social interaction skills. Even here, however, he finds only "modest" claims can be made.

Marrow, in an extensive discussion of sensitivity training, suggests that it "cannot help everybody. Its value will vary from individual to individual and company to company. The matter usually boils down to the attitude of people toward changing beliefs and practices. But we have learned that most people can benefit, that in the training laboratory the majority of people can learn and grow and help their companies to solve problems" (Marrow, 1964, p. 17). The same author states that "self-knowledge is a business necessity if the manager is to develop the cooperative relationships which turn his subordinates into a working team with good morale and high motivation" (p. 23). The "subject matter is not a body of knowledge but a body of men, and this subject matter is not so much learned as experienced" (p. 25). Sensitivity training "has given proof that the way a person behaves towards others and his awareness of himself can be influenced by the social environment in which he works and lives. It also shows that the psychoanalytic form of probing is not necessary in order to expose this behavior" (p. 44). Changes in participants may be of many types, including a wide variety of perceptual and attitudinal changes, the acquiring of new cognitive skills and information, and the modification of overt behavioral responses both in the training group and, ultimately, in other social interaction settings (Burke and Bennis, 1961).

Case method

General.—The case method is "based on the belief that the trainee can best attain managerial understanding and competence through study, contemplation, and discussion of actual situations...designed to promote the discovery of underlying principles by the trainee...encouraged to develop flexibility in approach...individual interpretations are likely to be very different" (Bass and Vaughan, p. 84).

Without doubt, the case method has been the most discussed training technique for management development found today. Basically, the procedure is for the leader to present a problem situation to the group. The group discusses the case and analyzes it in an attempt to discover the problem and its causes. Depending on the purpose of the leader, a solution may or may not be called for. Virtually any kind of problem can be presented in varying degrees of detail. "Numerous books that cover a wide span of carefully developed cases are available but in some instances it may be desirable for a company to write its own cases based on real problems in its own organization" (Bass and Vaughan, p. 85).

"The initial individual analysis is important, but the ultimate success of the case-study method depends upon the adequacy of the group discussion....Discussion should be focused but at the same time free, informal, and experimental.

It should promote mutual agreement and mutual understanding among those talking and listening" (Bass and Vaughan, p. 85).

There is a difference of opinion as to how involved trainees become in a case analysis. Some find the members become highly involved, while others believe they do not because the situation is about someone else - not themselves. As with the other techniques presented, the success of using cases rests heavily on the ability of the leader.

In most training programs, members first introduced to the case method find some confusion as to the purpose of cases and what is to be accomplished. However, studies report that trainees believe they think more about problems and they are more aware of the variables involved in a situation after experience with case studies. Andrews finds two gains from the use of cases over some of the other approaches to training. One is negative: "to avoid the boredom, futility, and waste of training programs that ignore the attitudes, feelings, and experience of those being trained." The other is positive: "to enable the participants to learn (from reflection upon their own experience) how to approach more effectively than before the human problems of administration in their own organizations" (Andrews, 1951). As a training program utilizing cases progresses, Andrews has found that trainees begin to find an increased

number of relations between the cases studied and their own work situations.

Nicholson finds that case studies aid in the development of two "critical management skills": the ability to think logically and the ability to work with other people. Following are positive features of cases as found by Nicholson (1956):

1. They help train the individual to think for himself by requiring that he develop his own principles.
2. Concepts are easier for the trainees to understand because they are applied to specific situations.
3. Trainee attention and interest is retained through trainee participation.
4. There is a carry over of changed attitudes from the class to daily behavior.
5. Development of logical thinking habits is encouraged.
6. Practice in clear, effective communication is provided. Each trainee must phrase his ideas so that they will be understood by the other participants.
7. Attitudes can be changed without arousing resentment.
8. The experiences of all the group members, not just the leader's, can be utilized.

To obtain these advantages, Nicholson (1956) states that the leader must (1) be prepared to discuss the case; (2) remain in the background as much as possible; (3) be permissive; (4) avoid interjecting his own point of view; and (5) aid the group by use of summary statements and probing questions throughout the discussion.

In addition to the critical role of the leader, attention must also be directed to the type of case selected for discussion. At one extreme are those cases which are long, extensive, and complex. To do an adequate job of analysis requires a concentration and time expenditure that goes beyond the value of the case itself. At the other extreme are extremely short cases which may be devoid of any analysis at all, thereby limiting their effectiveness.

"Most training men agree that the best cases are based upon the actual experiences of seasoned managers. But, it is often difficult to acquire such cases because veteran managers are frequently too busy to help in their preparation" (Nicholson, 1956). To overcome this difficulty, some firms employ case writers to interview managers about actual experiences and write the cases based on their reports. As another means to obtain organization cases, some training programs require that each participant write a case describing a situation in which they were involved.

Whether in selecting a case or in writing one, Nicholson (1956) provides the following as characteristics for a case:

1. The case should involve an issue - something important should be at stake.
2. The case should be written in an impartial manner. There should be no value judgments which would tend to direct the group's thinking.

3. The case should be documented with names, titles, and statistics to develop the participant's skill in looking for detail. The case should answer such questions as who, when, and how much.

4. The case should be authentic in nature to sharpen group interest.

Incident process.--As a variation of the case approach, Pigors has developed what he calls the Incident Process (Pigors and Pigors, 1954; Pigors and Pigors, 1961). Taking his lead from the case approach, it is suggested that "one important advantage for case students in social relations is that they don't have to wait till they have finished a course in order to apply what they are learning." He criticizes the typical case approach, however. Short cases are seen as being incomplete in information and tend to be "doctored" to "make a good case." Other cases, he believes, are too long and complex. Because he has found that cases selected at random from case books provide no interest to practicing managers, Pigors feels that it is best to use actual company cases. These cases are provided by the participants in the program.

It is of interest to note that while Pigors argues the Incident Process overcomes the typical case weakness of being too speculative in nature, Nicholson (1956) finds the Incident Process to lack the depth of analysis as does the more traditional handling of cases.

Briefly, the outline for the Incident Process is as follows:

1. Basic facts of the case are presented to the group by the leader or one of the class members.
2. The participants must question the discussion leader to obtain additional facts.
3. By discussion the group determines what is to be decided about the case.
4. After discussion, each member prepares his own analysis of the case in writing. Each presents his analysis to the group. Members are divided into small groups on the basis of agreement of individual analysis. After small group discussions, each group selects a spokesman to present the combined conclusions of the group to the rest of the class. The various decisions are tested for their strengths and weaknesses based on the facts presented in the case.
5. The combined group then analyzes its own behavior in handling the case.

The hospital.—Numerous examples of the use of case studies are found in the literature. (More recent reports include: Armiger, 1960; Rippington, 1961; Viguers and Brown, 1961.) Within the hospital, Beal argues that the case method is more valuable than either lecture or discussion because it more nearly meets the qualifications for a management program. Endorsing democratic leadership, Beal suggests that by "encouraging students in the classroom to cooperate enthusiastically and wholeheartedly in the solution of problems, we may also be encouraging a more democratic type of...administration in hospitals," which, in turn, is seen as leading to improved patient care (Beal, 1955).

As a form of summary, Hamilton (1960) has found that "several institutions have found cases useful in their in-service training program for such supervisors and department heads whose qualities of understanding, effective thinking, judgment, and communication, leading to the action of others, need to be sharpened and developed."

Role playing

General.-Rather than merely discussing what others have done, as in case analysis, the group members themselves take the parts of the individuals in the situation. Role playing is "acting out" without the use of a script or rehearsal. The intent in this approach is to develop an appreciation of the points of view of others and to experience a situation emotionally.

In comparison with the case method, participants tend to be more tense, more self conscious, and more analytical. They are also found to be more imaginative and daring in their solutions (Strauss and Sayles, 1960, p. 558). The value of role playing is that it (Coleman, 1948):

1. Uses group experiences as a functional basis for teaching.
2. Provides more attention to interpersonal relationships of members in grouping procedures for selecting participants in learning situations.
3. Develops techniques for creating the appropriate group social and emotional atmosphere for effective learning.

4. Recognizes the need to teach skills and attitudes rather than "items" of knowledge.

As additional values, Tyler (1952) adds that the participants learn by doing, they put into practice immediately what they have learned. They are assisted in improving their speaking, and they are encouraged to accept the ideas of others.

Some role playing cases are found in the literature for use in training sessions, but some writers find it is more productive to use problems presented by the trainees which they have drawn from their own experiences (Bradford and Lippitt, 1952). A training group of fifteen members has been found to give from fifty to one hundred topic areas for class discussion. These topics are organized under broader headings as: lack of authority, lack of communication to top management, and discipline problems. The group then selects elements for a case, selects the cast, and acts out the roles. This approach is based on the philosophy that it is "necessary to know what the foremen themselves feel they need" (Bavelas, 1947).

Most advocates of role playing give credit for its development to J. L. Moreno (Moreno, 1953) in his work on psychological therapy, and, thus, recognize in role playing a therapeutic effect on the participants. "The shrewd observer can learn a great deal about the members of the group as he watches their actions and reactions in various

situations, and the experience of playing certain roles can be, for the individual himself, touchstone for considering certain problems....[The trainer can] increase the awareness of the individuals to these 'blind' areas, and to keep the content of the course aligned with the shifting and emerging needs of the group" (Bavelas, 1947). "As they [the role playing participants] play the parts, each participant tends to identify himself with his role, and reacts as if in an actual situation. Insight is afforded into his own role as well as the roles of others" (Coleman, 1948).

Bradford and Lippett (1954) argue that role playing provides the opportunity for practice in an area where skills involving human relations are so complex. They add: "in changing human relationship skills at least two or, more often, a whole group of persons must reach their adjustments to each other if the behavior change is to be effected and effective...the trainee feels insecure in attempting to utilize new skills in relationships....He cannot be sure whether the other persons involved will accept or reject, laugh or applaud, unless they too have been involved in preparing for changes. If discussion is employed alone, there is a tendency to talk about 'handling grievances' (for example) as an abstraction. Role playing pins the problem down to 'how this supervisor handled this grievance' and thus the group is always face to face with reality" (Bradford and Lippitt, 1954).

One of the most complete descriptions of role playing is provided by Maier (1959; 1955). Whyte (1959) considers Maier's work to be but one of only two sources in the literature as presenting a systematic approach to the study of management training programs. Maier agrees with other authors quoted that leadership practices are skills and, as such, can be learned by appropriate practice. Maier appears to believe that role playing is the most effective method of developing skill in "democratic leadership." He finds a commonality between what occurs in a role playing session and what occurs through group on-the-job problem solving under democratic leadership. Drawing from numerous research findings, he points out that it is "easier to change the attitudes of a group of people than to change the attitude of one person" (Maier, 1959, p. 57).

There appears to be conflicting evidence as to the carryover from a role playing session to the work station by the trainee. "At the present time there is little experimental evidence on the affects of role playing in educational settings. However, there is some indication that by utilizing role-playing techniques...we can produce attitude changes which would not be produced by other methods" (McDonald, 1965, p. 359). Also: "The evidence indicates that role playing may produce behavioral and personality change, but this has certainly not been estab-

lished with any degree of confidence" (Tyler, 1954). However, both Tyler (1954) and Lawshe, Bolda, and Brune (1959) provide examples of improved performance on the job and in performing on subsequent role playing cases. Tyler found that the effect of role playing on the individual is related to his personality, and to his position in the role playing situation. Lawshe, Bolda, and Brune found that the effectiveness was related to the type of case materials used and the type of discussion following the role playing. Bass and Vaughan (p. 86) suggests two other "shortcomings" of role playing. One is that some participants resent the procedure as being childish; at the other extreme, some role players "over dramatize," placing more emphasis on acting than problem solving.

Finally, Tyler cautions that "it may require several sessions of hard work to get a group back on the ball after a role has been clowned up...." Even to begin a training program, Coleman (1948) has found evidence that three role playing sessions did not indicate any change in trainees. Also it is "necessary to prevent members of the group from 'rambling on,' or stopping in the middle of a case. He must guard against a tendency of the group to whitewash a fellow member's role playing...[and the trainer] must decide whether to become an expert and show how it could be done better, or to let a poor performance pass in the hope that some other foreman will do a better job" (Tyler, 1954).

To suggest the versatility of role playing, Bass and Vaughan (p. 86) provide two variations:

1. Role Reversal: During role playing, if a strong difference of opinion occurs between two of the players, the scene is stopped by the leader, the two players concerned are asked to exchange roles, and the scene is continued.
2. Role Rotation: In cases where a real conflict exists between two managers, they are asked to change "roles" for the purpose of mutual education.

The hospital.--Discussions about the use of role playing in the hospital usually suggest that this technique is used in conjunction with other techniques, such as lecture, discussion, and case studies (Ransohoff, 1958; Ritvo and Oram, 1960). Coville (1955) reports that after role playing was introduced in class, some of the learners applied the technique in problem solving in their own departments. Some were able to perform a role in class but had difficulty in applying it on the job; some resisted the technique even in class. Significantly, those who were considered by their superiors to be the most effective managers on the job were the most receptive to, and the most effective with, role playing.

CHAPTER XXII

TECHNIQUES OF MANAGEMENT DEVELOPMENT: CONTINUED

Training Techniques: Continued

Simulation

General.--Two basic types of simulation are identified:

1. In-basket simulation: This is a paper and pencil exercise in which the trainee is provided information on organizational background and then is required to participate in the role of a manager. During the course of the session, the trainee is provided with memos, letters, notes, etc., which present a series of problems to be solved. A critique of the participant's performance follows the exercise.

2. Business games: These games range from exercises as "simple as card games" to those which occupy as many as twenty players in problem solving for over a week (Dill, 1961). Most of the games simulate a total business environment to include competition between "companies." Each company is represented by several trainees, each of whom perform the duties of various members of the organization. The teams are called upon to make a wide range of decisions relating to various business activities as financial, marketing, production, and research. Feedback of the results of team decisions are reported to the members.

The more well known of the more complex games have been developed by the RAND Corporation, the American Management Association, the University of California at Los Angeles, and various branches of the United States Armed Forces. It has been estimated that in the first five years after the

introduction of the Top Management Decision Simulation game by the American Management Association, over 30,000 managers participated (Stewart, 1962). In addition, over one hundred companies use business simulation (Plattner, 1962), ranging from "warehousing to stock market portfolio management" (Bass and Vaughan, p. 72).

Advantages seen for the use of simulation are that it (Plattner, 1962):

1. Condenses a large amount of decision making experience into a short period of time.
2. Emphasizes over all balance of training.
3. Clarifies the point of making decisions with inadequate information.
4. Includes the advantages of role playing.
5. Allows for feedback.
6. Permits experimentation.
7. Points attention to important factors.
8. Involves all the participants.
9. Permits useful analysis through the critique.
10. Adds variety to training.

For learning principles, games are "too hypothetical in structure for this application to be taken seriously, except in relation to some of the most general (and most important) requirements for effective management - good teamwork, careful planning and control, and balanced coordination of interacting factors...for the present, highly

realistic games have been designed only to represent relatively narrow, almost 'technical' problems..." (Jackson, 1959). It is possible to find strategies to win the game that may not be related to success in real life. Participants may also become so involved with the game itself that they lose the advantages of the training which the simulation provides. In addition, the games are expensive to develop and administer.

The games are "most useful as exercises in setting up appropriate systematic routines, each of which would presumably be applicable in real life to a variety of related individual problems....Highly effective as a means for developing ability to work with the everyday decision problems of middle and lower management and management staff" (Jackson, 1959). Games can be used to learn decision assisting tools, reporting and control systems, break even charts, linear programming, and mathematical models.

The trainer plays an important role in maximizing the value of the games through critiques, directing the trainees' attention to the issues, and providing opportunities for the trainees to discuss and evaluate their own performance.

At this time "the consensus among those who are most actively involved in gaming seems to be that the end justifies the means" (Bass and Vaughan, p. 90).

The hospital.-Osterhaus (1963) describes an "in-basket" form of simulation used to train hospital personnel in the military. Topics covered included publications, medical supply, correspondence, routine medical records and reports, etc. In this program each student is "assigned" a duty, is presented administrative problems by means of letter, memorandum, telephone, and training staff actors. The assignment for the student is to apply the appropriate principles, policies, and procedures for the solution of these problems.

For management games specifically, Hackamack (1963) observes: "To have a game that mirrors completely the reality of the hospital situation is an impossibility at this early stage and perhaps may not be one that would be highly desirable. If actual and complete hospital operations were developed into a gaming situation, it would perhaps be too involved for use in a true learning sense. It would be more desirable to develop the smaller areas as gaming devices, incorporating certain principles into them that will illustrate points that must be known and handled...." Areas that could be covered would include staffing, patient care, supplies, and maximizing profits.

Audio-Visual

Movies provide whatever advantages are found in the lecture in addition to a dramatic effect that the lecture does not have. Movies, as well as other forms of audio-visual

materials - as slides and film strips - are of special advantage to the poor instructor. Both movies and television have the potential advantage of using the most skillful instructors, and materials which can be efficiently and imaginatively organized.

On the negative side, their use tends to decrease spontaneity of the participants and flexibility of the program. As Bass and Vaughan (p. 81) point out, as does the lecture, these methods depend on the passive learning of the trainees. Expense can be quite high, although obviously, the more people who are trained the less the cost will be per student. There is a tendency to continue to use such training aids long after they have outlived their usefulness. Movies, especially those dealing with human relations, have been criticized because the plot and conclusions have been too obvious and contrived.

Programmed learning

The steps of programmed instruction generally follow the sequence given below:

1. The subject matter is presented in small units (frames) that may run from one sentence to several paragraphs; all the frames together are called a program.
2. Each frame requires a response (answer).
3. The trainee is told the accuracy of his response immediately, thereby immediately reinforcing or correcting the answer.

4. Arranging material in the correct sequence forces the programmer to analyze the steps in learning.
5. For most effective use, by pretest 95 per cent of the respondents should answer each question correctly.
6. Each respondent is allowed to work at his own pace.

"The more enthusiastic proponents of this type of instruction believe that it will eventually bring about a major revolution in teaching at all levels of our education system" (Bass and Vaughan, p. 91). Contrary to the traditional classroom situation, the learner is not likely to be distracted during the course of learning and all appropriate questions are likely to be faced and answered by each student. Bass and Vaughan find that both programmed texts and teaching machines lead to increased speed in learning, increased retention, increased management control over program content, greater accuracy of training cost estimates, more consistent assurance that certain training will be introduced, and more flexibility in scheduling individual students. There is the advantage that the individual's motivation to learn is enhanced because he experiences mainly success, and because each individual can proceed at his own speed.

From actual study, there are conflicting results concerning the effectiveness of programmed learning. One study, for example (Lysaught, 1960), has shown that retention is greater with programmed learning than with a

combination of lecture and discussion; another (Hughes, 1962) has shown that with programmed learning class time was reduced, learning was increased and satisfaction by the students was greater compared to "conventional" instruction. Still another study (Brown, 1964) indicated that adding programming to the lecture did not increase learning, and, further, that programming alone was not as successful as the lecture alone. Still another research study (Chaupsky and Nelson, 1964) reported no differences in effectiveness between programmed learning and simply using textbook readings even without any classroom presentation.

"By using enough examples, any rule or abstraction may be taught and the scope or limits of application of any given principle can be fully expounded" (Bass and Vaughan, p. 91). Continuing, the authors see that both applied mathematics and managerial economics can be effectively taught by programming, "but as to the efficacy of a program to improve interpersonal relations with subordinates, we shall have to wait and see." Morse and Wingo (1962, p. 164) observe that "motor skills, social skills, and attitudes could probably not be efficiently taught by machines though the relevant information needed for them could be. Habits of independent study, skills of democratic leadership and membership, and originality would probably not be suitable 'content' for programming for a teaching machine, although

some of its advocates see it as a key device in enhancing pupil creativity." A final observation: "Unfortunately, few personal, social, economic or political problems that are met in everyday living tend to be clear, simple, or categorical. Furthermore, the more crucial and far-reaching outcomes of learning will always be found at the level of interpretation, application, appreciation and invention. These levels are still outside the reach of most self-learning devices and thereby place a low ceiling on what is to be mastered" (Kvaraceus, 1961). "The balance in favor of programming over other teaching or learning methods is most significant when the objective is a specific and clearly defined educational goal" (Bass and Vaughan, p. 74).

When considering programmed instruction, it is well to keep in mind that although "programmed instruction is not a panacea for all of our educational ills...it does pay greater heed to the principles of learning...than any other training technique..." (Bass and Vaughan, p. 73).

The hospital.-Little about programmed instruction has been found directly related to the hospital (Sherer, 1962). However, Feldman (1962) provides the most complete discussion, including examples, of a non-machine "scrambled answer" program for management development found in the literature. Briefly described, statements or questions with multiple choice answers are provided. For each alternative answer,

the learner is referred to an explanation indicating why the choice was correct or incorrect. If incorrect, the student is directed to return to the original question to select another answer; if correct, he is directed to move on to the next question.

Feldman believes programmed instruction is especially valuable for hospital inservice training because of the difficulty in many situations, for all personnel to meet together at the same time for classes. It is also suggested that hospitals should have less problem than some institutions in programming material because of the nature of much of the material. Suggested topics for hospital management training programming are principles of management, work standards, and wage and salary administration.

University programs

There are two aspects of university conducted instruction that relate to managers. One is the education of the student seeking an undergraduate or graduate degree; the other are those non-degree courses designed specifically for the practicing manager. It is the latter which most appropriately applies to this discussion.

The conclusions reached in an earlier study are representative of more recent results: "About the only generalization that can be applied to the ...courses described in this report is that no two are planned, organized, or

conducted in the same way." The same report advises, therefore, that "because of the differences in these courses there is now an increasing opportunity to select a course or program which will more nearly fit the requirements of the individual executive" (Moser and MacCullough, 1954).

Typically, the goals of university development programs are seen as being to (Moser and MacCullough, 1954):

1. Aid the individual to think thoroughly.
2. Broaden his outlook.
3. Guide him to think through problems.
4. Assist him to become more effective.
5. Increase his potential to handle higher jobs.

For business firms, the interest in such programs has come about because of increased emphasis on decentralization, broader management responsibilities, more keen competition, and the expansion of business activities. Interest in training, generally, has been increased because of greater familiarity with training programs and because management development is "in the air."

As has been suggested for other forms of management training, university programs are not sufficient in themselves to develop managers. "None of these courses can be successfully substituted for the on-the-job training that the executive gets from the daily performance of his assignment and from his association with others in the organization.

....[However,] at the same time, there is widespread agreement that there is no substitute for these university courses" (Moser and MacCullough, 1954).

University courses are seen as valuable in providing broadening experiences. In addition, the participant is exposed to a new environment, is allowed to deal with various other individuals outside his own organization, and is provided a means of "cross fertilization." On the other hand Taylor is highly critical of some of the course content provided in certain programs. He observes that "some highly respected industrial organizations have, in the name of 'management development,' done some pretty silly things... [such as] sending engineers to study Greek literature and culture for a full year..." (Taylor, 1959). In addition, it is observed that "there appears to be a lack of attention to basic theory and philosophy - to those fundamentals which provide the depth of understanding and insight essential to effective use of new knowledge and skills....[The] nature and requirements of business leadership; the business as an integrated economic and social system or process, the theory and process of managing, and organization theory (including the theory of authority and the theory of social cooperation) do not appear to be treated as specific subjects of study. Rather, they seem to be hoped-for by-products of the curriculum....There is little evidence of courses

specifically designed to study the decision making process, the teaching-learning process, or the personal-development process....Consideration of cause and effect relationships appears to be defected to a considerable degree by the traditional division of subject matter and failure in many cases to achieve integration of related subject areas" (Houston, 1961, p. 50).

Programs typically extend from two weeks to a year, with most less than six weeks. About 25 per cent of the programs nationally are for top management, 25 per cent for both top and middle management, and 50 per cent for middle management alone (Houston, 1961, p. 48). Case studies, lecture, seminars, panel discussion, formal and informal discussions, and planned reading with individual study are found in most university programs; some programs also use role playing and provide field trips (Houston, p. 50).

It is indicated by most writers on the subject, even the most enthusiastic advocates, that it is difficult to measure the effectiveness of these programs, especially because many of the gains may be known only after an extended period of time. After a study of a number of university management programs, Andrews has concluded: "The impact of executive development is not easily seen. Personal testimony and executive's judgment of one another are highly subjective. Since good management does not exist

apart from the environment in which it is exercised, it is hard to specify degrees of improvement. There are no accurate scientific tools for distinguishing before-and-after states and for tracing developments back to a definite period of learning" (Andrews, 1957). To a "greater or lesser extent the comments collected by interview [with the participants] are generally favorable - regardless of the length, content, and conduct of the program....The generosity of the participating executives' comments is doubtless reinforced by his feeling that he is expected to respond in this way, by his recognition of the favorable implication of his selection, and by his satisfaction in associating under pleasant circumstances with other men of intelligence, ability, and varied experience" (Andrews, 1957). This point is found elsewhere: "the vast majority [of participants] seem to agree on one source of great stimulation and inspiration. This is the 'plus' value or 'dividend' that comes from the close and extended association with the other members of the program" (Ashen, 1954).

Ashen finds one of the greatest gains from these programs is when they are of long enough duration to allow the manager to feel he is away from the pressures of the job. However, Boudeaux and Megginson (1964) argue that the reverse may be true. They have found that the participants do less well on campus for extended periods because

of their concern for their jobs and families during their absences. Their suggestion is that the participants should not be kept away from their organizations for over two weeks at a time.

It is suggested that university management development programs should be measured for effectiveness on the following bases (Houston, 1961, p. 60):

1. University programs are not a substitute for sound management and on-the-job training.
2. True measurement of results can occur only when the participant returns to his job.
3. The participant should be provided unique values, broadening experiences, and opportunities for learning not wholly provided on-the-job.
4. The program must command intellectual interest, provide a climate conducive to learning, and stimulate the desire to learn.
5. Course content should be selected to meet individual needs of the participants as part of the total plan of management development.
6. Participants selected for any one class should be not only competent but of heterogeneous backgrounds so that they can learn from each other.
7. The faculty should be able to command respect and stimulate thinking.
8. The program should have an integrated pattern of objectives which are meaningful to the participants and related to their experiences.
9. The program should be intensive and intellectually challenging.

10. Instruction should be in accord with sound teaching-learning principles.
11. Program administration, including faculty and facilities, should be competent.
12. The program should be measured on long range individual growth.

Summary of training techniques

"In most off-the-job training, what goes on in the laboratory [classroom] cannot be closely related to the job and is usually supplemental rather than central to learning job tasks" (Bass and Vaughan, p. 77). The problem is magnified because instruction often fails to incorporate materials which facilitate the transfer of learning for the training session to the work. "Very seldom is real effort made to provide for the application of principles of learning....[Also,] a great deal of potential benefit to the organization and the participant is lost because no internal plan has been formulated that might capitalize on his new perspective and new ideas" (Bass and Vaughan, p. 77).

Bass and Vaughan do suggest "several distinct advantages over on-the-job training" which off-the-job training provides:

1. For many positions, training on the job is difficult.
2. Outside sources can often provide many courses which a company could not provide for itself.
3. Trainers in a formal training setting tend to be more concerned with learning.

"A prerequisite for the success of any training program (especially off-the-job programs) is that top management must actually support the training as well as reinforce what the trainee has learned" (Bass and Vaughan, p. 77).

Simplified, but of interest in the development of training programs, are the following guides to the types of training techniques most appropriate for particular training needs (Strauss and Sayles, 1960, p. 566).

<u>Purpose of Training</u>	<u>Technique</u>
Explaining facts and procedures; expounding general principles.	Lecture, Guided discussion
Developing analytical skills and the ability to ask oneself questions.	Case method, Incident process
Developing awareness of oneself and one's impact on others.	Sensitivity training, Role playing
Introducing change in behavior.	Role playing, Sensitivity training, Problem solving conferences
Insuring good training with unskilled trainers.	Lecture, Incident process
Opportunity for emotional catharsis.	Sensitivity training, Case method, Problem solving conferences

Management Development On-The-Job

Introduction

As has been indicated, management development is more than a "training program." In addition, the successful

development program should include a well rounded, coordinated effort which may include job rotation, decentralization, consultative management, coordination, information, stimulation, and personal evaluation. The goal of development is desirable but difficult to attain: "the complete attainment of all these objectives is a goal to be striven for but probably never achieved" (Muller-Thyn and Salveson, 1952).

"Some learning must occur on-the-job regardless of the nature of training received off-the-job" (Bass and Vaughan, p. 75). On-the-job training provides for maximization of certain principles of learning:

1. The problem of transfer of learning is virtually eliminated.
2. The trainee is able to practice precisely what is expected of him.
3. The trainee associates with the same people he must work with.
4. Maximum use can be made of the relevant reinforcements.
5. The trainee's superior can provide person-to-person training.
6. There is the opportunity to use "group techniques" on-the-job.

As with any single form of development, on-the-job training has its weaknesses. "Although it is theoretically possible to create maximally favorable conditions for learning on the job, it is extremely difficult to do so...on-the-

job the primary function is not training" (Bass and Vaughan, p. 76), it is the performance of specific functions.

The effective plan for management development is an aid in selection, training, promotion, motivation through participation, proper recognition, job satisfaction, and security. This can best be done with a "check list" to diagnose the organization. A healthy organization should be able to affirmatively answer each of the following questions (Reilley, 1952):

1. Supervise all activities.
2. No duplication.
3. Not overload the individual.
4. Responsibilities properly classified.
5. Responsibilities properly defined.
6. Authority equal to responsibility as much as possible.
7. Decisions as close as possible to the point of action.
8. Proper span of control.
9. Everyone knows to whom to report.
10. Each person reports to only one superior.
11. All personnel follow the chain of command.
12. Organizational levels are kept to a minimum.
13. Top executives keep their attention on major issues.
14. There is a distinction between line and staff.
15. The total organization is designed to fit the task.

16. Coordination occurs throughout the organization.
17. The organization structure is kept as simple as possible.

One of the suggested approaches to developing a check list is through the development and use of a written organization manual (Corless, 1952). In addition, job descriptions for all managers are important to point up what is to be done by the manager, what skills are required and should be developed, and to reduce the differences in understanding about the duties of any given position. Both organization manuals and job descriptions are tools to aid in management development. The following discussion is directed toward various techniques that are utilized successfully in contributing to the development of the manager on-the-job.

Counseling

One of the most critical roles which a manager has is the guidance he provides to his subordinates through counseling (Planty and Efferson, 1952). The purposes of counseling are to:

1. Aid the subordinate manager in doing a better job by making clear the standards for performance.
2. Giving the subordinate a clear picture of how he is doing; this includes pointing up both his strengths and weaknesses.
3. Discuss plans for improvement through better use of the subordinate's strengths and overcoming his weaknesses.

4. Build strong personal relationships between the superior and his subordinates.
5. Eliminate or decrease anxiety on the part of the subordinate.

Counseling is carried out in conjunction with a regular, systematic program of evaluation. It is conceived as a method of development, not discipline. The most successful counseling sessions related to an evaluation of the subordinate's performance, occur when the person being evaluated takes an active part in selecting the criteria by which he is to be judged, and when he assists in setting the goals for his own improvement. For maximum results, the appraisal (Zander, 1963):

1. Must be concerned with the matters in which a clear score is not available; this increases the readiness of the subordinate to be evaluated.
2. Have ratings in accord with visible and clearly understood criteria.
3. Allow the subordinate to adjust goals that are consistent with his needs so that he will internalize them and will not experience feelings of failure.
4. Must not induce aspirations to be set which are too much higher than present performance; small, steady, and realistic gains are desired.
5. Must be carried out by a superior who is sincere, fair, and respected by the subordinate.

Job rotation

This approach involves a series of assignments, moving the trainee from job to job, to expose him to successively

more advanced learning opportunities. At each position he receives coaching from his superior. The purpose of this approach is to provide well rounded training, to introduce new viewpoints, to develop the individual, to eliminate vested rights, to test the individual, to increase cooperation, and to increase his acquaintances within the organization (Sargent, 1952). Job rotation allows the individual to acquire valuable perspective and knowledge of interrelationships between various sections of the organization. Each section to which he is exposed benefit by the stimulation brought by fresh viewpoints of the trainee.

To be most effective, this procedure should be tailored to the specific needs of each trainee. The trainee and his superior mutually develop goals and periodically review the trainee's progress. For greater flexibility, the trainee can be allowed to move at his own speed of development (Bass and Vaughan, p. 82).

Coaching

This method is most likely to be effective when the coach (the superior) is a good model with whom the trainee can identify, when the coach and trainee are "open" to each other, when the coach fully accepts his responsibility to the trainee, and when the coach gives recognition for improvement.

This method will be less effective to the extent that the coach sees the trainee as a rival for his position, the coach rejects the dependent needs of the trainee, if he cannot tolerate mistakes, if he does not have enough - or does not take enough - time for coaching, and to the extent that the relationship between the coach and trainee is not adequately understood by them or the other members of the organization with whom they come in contact (Bass and Vaughan, p. 82).

Multiple management (junior boards)

Multiple management involves placing selected managers on committees or boards to discuss problems pertinent to the organization. Depending on the type of plan, the group may make final decisions or may only make recommendations to top management. Some programs have permanent members while other programs rotate the membership. They may be found at any level in an organization. The purposes are to utilize the talent within the firm in the study of important problems, and to provide a means to develop managers to become more effective.

The concept behind Multiple management is consistent with what has been expressed elsewhere: "The highest aspirations of the individual seem to be more easily met in group situations"...(Bell, 1952). The use of this approach

is also based on the assumption that training is more effective when the tasks are meaningful to the participants (Aguilar, 1963).

Summary

The previous two chapters have been concerned with a discussion of techniques presently in use in management training programs both in industry and in hospitals. The value of any one technique must be related to their ability to provide effective learning situations for the development of the equalitarian personality in support of democratic leadership. This, in turn, must be consistent with the philosophy of management. To be effective, the technique or techniques used must recognize the concepts of effective learning as presented in Part IV with emphasis on group participation, self discovery, and the practice of skills.

PART VI. CONCLUSION

CHAPTER XXIII

CONCLUSIONS ON A CONCEPT OF MANAGEMENT DEVELOPMENT WITH APPLICATIONS FOR A HEALTH CENTER

Criteria

Based on the recognition of the importance of hospitals, and, within the hospital field itself, recognition of the importance of hospital managers and the need for their development, this study has been conducted.

Philosophy of management

A philosophy of management has been identified which recognizes the dignity of man and the existence of an ordered universe. Man should be allowed, should be encouraged toward, personal development. This can best be accomplished within specified limits based upon identifiable guidelines.

Leadership

Emphasizing the hospital as an institution for providing quality patient care, and management as the chief instrument of planning, organizing, and controlling within the institutional setting, a leadership pattern has been sought, compatible with the philosophy of management, which

would be most effective in serving the purposes of the hospital. Leadership found to serve both criteria is that performed by the manager possessing an equalitarian personality. The philosophy and democratic leadership both support the concept that each individual should participate in establishing objectives, making decisions, organizing activities and interrelationships, and providing motivation and discipline about those things which directly involve him. For the manager specifically, this indicates he should not be forced to perform predetermined behavior patterns, but should be aided in becoming more perceptive so that he will be adaptive in a positive manner to any given situation.

The organization must be structured and behavior must be directed to the extent necessary for complementing an ordered universe. This requires a defined organizational structure, an adherence to the functions and principles of management, and direction of all organization members toward the common objective.

Learning

The dignity of man has been recognized in the learning theory selected in that it has been found that man can not be forced to learn in any manner meaningful in the long run. The need for structure has also been recognized in that certain situations provide greater opportunity for discovery. The marked similarity between the roles of the effective

classroom trainer and the effective organization manager, and between the roles of the classroom trainees and the organization subordinates is encouraging.

Democratic leadership allows the individual to make decisions concerning factors which affect him; the theory of learning suggests the most effective learning occurs when the learner understands the need for learning and when he is allowed to set his own goals. Democratic leadership recognizes the need for structure to provide a framework of activity and direction; the theory of learning recognizes the need for structure as a means of systematic guidance. Democratic leadership recognizes the key role of the leader in the work situation; the learning theory recognizes the key role of the trainer in keeping the learner moving in the intended direction. Organizational effectiveness is dependent on group interaction; the individual learns to become an adequate person in large measure through interaction with others. Personal involvement and motivation is greatest when the individual has the opportunity for active participation; learning is most effective when it provides learner participation.

Therefore, the most effective form of learning provides an example of the manner in which the manager is being encouraged to perform on the job.

Objectives of Management Development

The over all objective of management development is to aid managers in becoming more adequate individuals. More specifically, the general objective is to develop in managers a high level of competence leading to quality patient care. This includes an appropriate philosophy of management, a greater competence in performing the functions of management, and a strengthening of the status and confidence of the managers.

Preparing a Management Development Program

Authority

Top management consent is required to permit both a study of the hospital for determination of training needs, and preparation of plans for a development program. Such consent is given when top management recognizes the need for training.

Identifying training needs

An overview is required including objectives, organizational structure, and personnel. This includes identifying the hospital's philosophy, informal relationships, power centers, and areas of conflict and cooperation. A clear understanding is also needed of the attitudes of all managers toward a development program.

Because training is to be related to the needs of the hospital, policies, performance standards, and personnel requirements must also be identified.

The philosophy of management recommends democratic leadership, therefore consideration and planning for the program must necessarily include participation by all individuals involved.

Means of identifying needs

A problem can be defined as anything creating a barrier to the successful achievement of desired ends. Needs are those things to be learned, done, or changed in order to overcome the identified problems.

The following areas are especially recommended for study: organization plans, employee records, inspection reports, work flows, management selection policy, management audits, morale factors, manager and subordinate job knowledge, communications, and general effectiveness of supervision. The American Hospital Association provides valuable guidance in organizational analysis for the discovery of needs (AHA offers..., 1959).

The manager and those with whom he has contact should be utilized as information sources for identifying problems and needs. It is suggested the required information can be obtained through the following means.

The training committee.—A planning committee is utilized to obtain vital information, as a source of assistance in program preparation, as a means of developing commitment in support of the program, and as a training device for the committee members themselves. The committee may be composed of heads of major departments with the training representative acting as staff specialist. (For an example of training directors check list, see U.S. Civil Service Commission, 1956, p. 110.) The committee's duties are to review training proposals, recommend the scope of programs and the participants to be included, and recommend methods of program evaluation.

Various members of the committee may also work on preparation of questionnaires and interviews, examine reports and other documents, and conduct analysis of management positions.

Interviews.—Interviews are useful for obtaining information concerning the hospital and the program participants. Two types of interviews are identified.

In the directive interview, the interviewer asks questions from a prepared list and records the answers provided by the interviewee. This allows for collection of data in a uniform manner. This technique may, however, restrict free expression, causing important information to be overlooked.

In the nondirective interview (see especially Rogers, 1951), the interviewee is encouraged to talk about those things in the work situation and about himself which he considers most important. This method, of the two interview techniques, is the most time consuming, and there is the possibility the interviewee may never freely express his feelings. Generally, the nondirective interview has proven to be highly successful in obtaining desired information.

For both methods, an atmosphere of mutual trust is required. The interviewee must be assured the information provided will not be identified with him later. (For an example of an interview outline including elements of both the directive and nondirective approach, see Argyris, 1956.)

Questionnaires.-Questionnaires, as a supplementary form of information gathering, can be administered prior to or subsequent to the interviews. Questionnaires should be completed by the prospective participant (Argyle, Gardner, and Cioff, 1957; U.S. Public Health Service, 1964, pp. 102-103), his superior (Dooher and Marquis, 1952, p. 309; U.S. Public Health Service, 1964, pp. 87-88), and his subordinates (Maloney and Hinrichs, 1959; U.S. Public Health Service, 1964, pp. 109-110). Because of the significance of patient care, use of patient surveys are valuable (Abdellah and Levine, 1964); it is also suggested that those in the hospital involved with patient care can provide accurate

evaluations of the effectiveness of patient care (Abdellah and Levine, 1964).

Observation.--Some organizational difficulties are often visible on the surface. Points to be observed include examples of lack of cooperation and personal friction. Difficulties may be found in such areas as production flow, communications, assignment of duties, morale, or use of operating procedures. Observations may be quite informal or formal, such as job analysis.

Records.--As examples, the following records are of value: production reports, performance reports, program and project plans, cost records, work measurement reports, organization studies, accident reports, personnel statistics, and management audits. Of paramount importance are measurements of patient care.

Group meetings.--Managers who will be participants in the training programs should be brought together in small groups to discuss their problems and to suggest areas for their own training. (It can be expected that a list provided by such a group will approximate that obtained in the Catholic Hospital Association survey shown in Chapter III.)

Job analysis.--For each management position, questions should be asked as to the objectives, duties, methods, standards, skills, and knowledge required (Dooher and Marquis,

1952, pp. 415-445; U.S. Public Health Service, 1964, pp. 77, 79).

Analyzing information

Information collected should be divided into major categories, each reflecting some training need.

Analysis should disclose problems and underlying needs, provide a clarification of training objectives, indicate a basis for determining training priorities, provide the guidelines for constructing a course of instruction, and indicate the criteria against which training could be evaluated.

Final approval

The completed training plan should be reviewed by the training committee and sent to top management for final approval.

Presentation in final form should include a statement of program objectives, evidences of need for training, list of means used to obtain information, estimates of cost and time, a program schedule, the number and type of participants to be included, a program outline, the techniques of training to be used, expected results, and an outline of the evaluation plan.

The Management Development Program

Participants

It is recognized that top management should be trained prior to training of their subordinate managers. This provides top management's endorsement of the program, guidance to those top managers who may later participate as trainers, and knowledge of the information and experiences their subordinates will have in their training. This also provides the basis for support of subordinate managers when they begin to apply their newly obtained knowledge and skill on the job. To obtain a class of sufficient size, especially for smaller hospitals, may require that the administrator and/or assistant administrators attend joint training sessions on a regional basis.

For training the remainder of the managers - department heads and lower - there is some difference in views as to the composition of a training group. Some writers in the field believe only those with similar duties should be brought together; others that different departments can be represented so long as all participants are on the same organizational level; still others advocate having several management levels included, but only when participants are not in the same group with their own superiors or subordinates; finally, some suggest the learner should be in a class with those

with whom he normally comes in contact on the job - namely, his superior, his subordinates and his peers.

The conclusion drawn from this analysis is that for an introductory, basic course in management, a training group of those on the same organizational level, and within the same department, might prove satisfactory. However, it appears most acceptable for various departments and various management levels to be included in one group. In realistic terms, most hospitals do not have a management group large enough in one area of specialization to form a group for training. Class size typically is recommended at between 12 and 20 participants. In addition, the inclusion of multiple levels of management and various departments meets directly the problems of communication and coordination that occur in the actual hospital situation, and which have been shown to be the most critical for organizational effectiveness.

Trainers

Effectiveness of training is dependent to a great degree on the quality of classroom leadership and instruction.

Ideally, all management training should be provided by top management. The value of this is that it increases top management's commitment and support, provides a group of managers with experience in group leadership which is

useful on the job, assists management in identifying competent leadership, increases the number of individuals available to conduct training, augments the likelihood that lower management will accept and apply the training, assists trainers in identifying the hospital's aims and alerts them to problems that might otherwise be hidden from them, and improves their recognition of the value of group problem solving. (For a brief outline of an inservice training program for trainers, see U.S. Public Health Service, 1964, p. 38.)

Utilizing top level managers as trainers is not always realistic, however. They do not always have the time required for preparation and presentation of training, and holding a management position does not guarantee effectiveness as a trainer. In some topic areas, class trainers may be reluctant to express their true feelings if their superior is leading the discussion; the manager-trainer may not be able to cope with a situation in which he finds himself threatened.

Where knowledge of leadership techniques and ability to lead group discussions are of most importance, trainers other than top management may effectively present much of the material. This is especially true when the trainer is respected by the trainees.

The Catholic Hospital Association provides a training program for hospital trainers (W. I. Christopher, Nov., 1964). Hospitals which do not feel they can support a full time training director may choose to cooperate in sharing the services of a trainer (for example, see Farrar, 1960). Outside sources, as university faculty and management consultants, are available to hospitals. Such resources should be selected on the basis of competence and effectiveness of presentation. Such individuals can also be utilized for identifying training needs and designing the development program.

For an example of a form for the trainer to evaluate his classroom performance, see U.S. Civil Service Commission, 1956, p. 70. The full time trainer should ideally possess certain knowledge and attitudes (U.S. Civil Service Commission, 1956, p. 107; Gordon, 1959), and should attempt to continually develop himself professionally along these lines.

Course content

Emphasis on particular areas of development should depend on results of the training needs survey and on the level of management concerned. However, from previous study, it has been indicated that most of the following topics should be included in a comprehensive program: subject matter related to the specific work performed and supervised, duties and responsibilities of the manager, human relations

skills, employee training, management skills, communications, work methods, health and safety, personnel management, information concerning hospital objectives and policies, and guidance for self.

References in Parts II and III of this study are intended to provide guidance as to desirable manager attitudes to be developed, and materials for classroom presentation.

The hospital literature frequently provides articles valuable in better understanding the hospital and personnel, and in providing guides for training. The following are representative of the more valuable: the hospital in general (Argyris, 1956; Barnes, 1961; Bowers, 1960; Burling, Lentz, and Wilson, 1956; Freeman, Levine, and Reeder, 1963; Georgopoulos and Mann, 1962; MacEachern, 1957); administration (Anderson and Warkov, 1961; Barnett and Pendall, 1957; Bugbee, 1961; Caser, 1958; Gordon, 1961, 1962; Griffiths, 1957; Gross, 1962; Hanson, 1961; MacCown, 1961; Nelson, 1962; Oaklander and Fleishman, 1964; Simonds, 1963; Stockin and Sheppard, 1963; Wood, 1960); departments (Barrett, 1963; Benthem, 1961; Cox, 1960; Croumey, 1959; Sr. Emmanuel, 1960; Gaskill, 1961; Grant, 1962; Haskins, 1957; Killonberg, 1959; Pendleton, 1961; Rosenfeld, 1956; Schroeder, 1962; Showalter, 1957; Vestal, 1958), and interpersonal relations (Hilton, 1957; Kyle, 1961; Lovey, 1963; Rohrer, 1957; Saunders, 1958; Turk, 1963; Wilson, 1958; Young, 1961).

Appendix B contains outlines of management training programs used by hospitals as possible guides in designing a program.

In addition to inservice classroom training, there are a variety of supplementary management development practices utilized by hospitals, such as university programs (Sr. Armiger, 1960; LeRocker and Anderson, 1959), conventions and workshops (Baymiller, 1963), guest speakers (Pruitt, 1964), luncheon meetings (Bruce, 1963), and individual reading programs (U.S. Public Health Service, 1964).

In Part V it has been pointed out that a total management development program is more than classroom training. Of considerable importance are the experiences the manager has on the job in performing his organizational duties. For maximum effectiveness, this requires that each manager have a superior who will provide assignments and the necessary coaching and counseling to permit maximum personal growth.

The classroom

The value of classroom training is that it permits group instruction, provides greater assurance that materials and information will be presented, provides a uniform means of communicating information, assists in building mutually understood administrative language, assists in integrating

and unifying elements within the organization, provides for common movement toward objectives, and aids in the stimulation of an interchange of ideas and viewpoints between managers.

Within the classroom itself, participants should be seated so that all members face each other, to encourage free discussion. This can be accomplished by placing the trainees around a table or by arranging chairs in a circle or "U" arrangement. Training aids should be placed conveniently in view of all group members. The room itself should be attractive, well ventilated, and with comfortable furniture.

Experience indicates that all training sessions, whenever possible, should be held away from the hospital. This decreases the possibility of organizational distractions and increases the opportunity for social interaction between participants going to and from the training area.

Scheduling

Training time should be scheduled so that there is a minimum of interference with the participants' work activities. Training should be held during the normal working hours of the participants. Times should be arranged so managers can spend time with their subordinates both before and after the training sessions.

A variety of time periods have been advocated, but either one and one-half or two hours is the most commonly

supported, and appears to be the most practical to permit adequate time for class discussion, case problem analysis, or role playing.

One or two sessions should be held a week, with a minimum of one day and a maximum of one week between sessions. Although the number of sessions should be announced in advance, sufficient flexibility should be allowed for adjustment to individual and group development and for more thorough investigation than originally contemplated of areas found to warrant it.

It is visualized that management training sessions, in one form or other, will be a continuous activity of the hospital as part of an ongoing program of individual and organizational development. After initial trainings, such long range programs would probably not require the frequent meetings as suggested above.

Program announcements

For development of interest and as the basis for increased acceptance of a training program, it is of importance to keep prospective participants informed of progress as the program is developed. Announcements should indicate the nature of training, the objectives, the time and schedule of the sessions, and methods used in selecting participants. Bulletin boards, hospital newsletters, and reports at regular management meetings can all be effectively utilized.

This is in addition to the active participation of some managers in various activities related to the development of the program.

Training techniques

Training techniques should be chosen on the basis of their effectiveness for teaching particular material and in light of the concepts of effective learning discussed in Part IV. Guidance in the selection of techniques is found in Part V. It is to be remembered that a variety of approaches will undoubtedly be the most effective. Each technique tends to be most effective in providing learning experiences for particular knowledge or skill areas. Also, there tends to be a value in varying techniques because of the interest stimulated by variety. Because emphasis is on individual development in group situations, techniques which emphasize group interaction and analysis are the most desirable.

Classroom training, to be meaningful, must be related to on-the-job duties.

Lesson plans

Lesson plans for each session should include a statement of purpose, a list of training aids and materials, references used, methods of instruction selected, and an outline of the material to be presented. As suggested,

variations from the intended outline may be called for when the trainer elects to follow needs and interests of the participants brought out during the course of the presentation.

Evaluation of Training

Records

It is of value to keep a record of the training sessions including course content, unusual occurrences, member attendance, and a brief review of the discussion and problems raised. The report can be used by the trainer as part of his own evaluation, and as a basis for reporting to the group on its progress (Strauss and Strauss, 1951).

Tests

Tests may be used to locate training needs prior to the beginning of the program, for comparison of knowledge level before and after training, for checking member progress during the course of training, and for stimulating interest by utilizing tests as a form of self analysis.

Because it is performance on the job, not in the classroom, that is the real measure of the manager and the training, tests should only be used as a training tool.

No single test is found to be accepted with equal enthusiasm. Recognizing that weaknesses do exist in the tests available, certain guidance can be suggested. Examples

of tests to be used are: manager measurement (Argyle, Gardner, and Cioffi, 1957; Maloney and Hinrichs, 1959; Rock, 1952; Standard Oil Company, 1961, 1963); employee attitude surveys (Jones, 1961; Maryo and Lasky, 1959); organizations (Bales, 1950; Wessler and Richart, 1964); and training programs (Buchanan, 1957; Koab, 1954; Stond, 1959; U.S. Public Health Service, 1964, p. 38).

General evaluation

No evaluation technique has been developed to provide complete objective proof of the success of a management development program. Typically, the lower the level of management studied, the more quantifiable the work performed and the more immediate the results obtained, the more accurate measurement tends to be. The least that can be demanded for any manager position is that some measurements be used, and that can be applied in a systematic manner.

Measurements should be planned in advance of training, related to measuring in terms of the objectives desired, and provide for a cross-check between measuring devices. It is difficult to state exactly the impact of training on any observed changes noted in the organization because of the number of variables affecting organizational performance. Therefore, results should be viewed as estimates or trends. Consideration must be made for both long-run and short-run results. Statistical measures can be

utilized in some instances to increase confidence in observed results. (Suggested areas for and approaches of measurement are provided in Appendix C.)

A minimum measure is to survey participants as to their self evaluation of growth in the training sessions. Other tests of the participants, as well as measures from others with whom the participants have contact, should be made.

Applying training to the job

The ultimate measure of success of the management development program is the learners performance on the job. Positive results are sought most directly in general improvement of the participants as managers, in improved interdepartmental functioning, improved productivity, improved morale, improved communications, improved patient and public satisfactions, and the development of an adequate reserve of management talent. For the organization as a whole, this means improved quality patient care.

Conclusions

The hypothesis on which this study has been based is of two parts. The first states:

There is one basic manager pattern of behavior that is most appropriate for organizational effectiveness.

It has been concluded that leadership behavior patterns similar to that defined as democratic leadership can be expected to be most effective for all organizations including hospitals. Rather than an exact behavior pattern, however, the form of leadership suggested might more properly be described as equalitarian leadership, expressing a philosophy, a personality type, or a set of attitudes. The leadership, as defined, does not specify a particular way of behaving, but endorses behavior which is adaptable to, and appropriate to, specific situations. Specifically, related to the philosophy of management, this requires recognizing the needs of subordinates and providing proper organizational structure. To this extent, the hypothesis, that there is a "basic" manager pattern of behavior, has been accepted.

The second part of the hypothesis states:

This pattern of behavior can be learned through a proper program of management development.

It has been concluded that, within limits, a pattern of leadership can be learned. It has been found, however, that not only behaviors but attitudes must be learned to satisfy the first part of the hypothesis. The learner must be allowed to seek new information in a manner acceptable to him, but he requires experiences which aid him in his discovery. It is found that these required experiences also provide training in specific skills of management.

Generally, it is accepted that the hypothesis has been proved, but with less exactness than might have been anticipated. Because of this conclusion, it is not possible to provide exact guidelines, but rather only general direction. However, to the greatest extent the conclusions are most acceptable to the philosophy of management which encourages personal interpretation, and anticipates appropriate behavior from individuals possessing adequate personalities and functioning within logical and well-defined guidelines.

APPENDICES

APPENDIX A

THE HOSPITAL ADMINISTRATOR'S CODE OF ETHICS

The following is taken from the "Guiding Principles" for the Hospital Administrator.

1. He will not use his position or influence for selfish personal advantages or gain and will not disparage the work of his colleagues.
2. As the chief representative of the hospital's governing body and often the hospital's spokesman in the community, his conduct will at all times be dignified and exemplary. His professional performance will be objective and fair, with the patients' best interest as the ultimate consideration.
3. In his relationships with personnel and staff he will be impartial, tolerant, fair and interested in all reasonable means of promoting personnel morale and welfare, consistent with the hospital's best interests and ability to provide them.
4. He will encourage, assist and teach others the principles and practice of hospital administration to the end that future hospital administrators may be more adequately prepared.
5. The administrator will encourage and participate, to the extent possible, in a broad educational program to assure the health workers necessary to the hospital field.
6. He will contribute his interest, support and leadership toward the general improvement of the community, with especial emphasis on health education and related causes. He will attempt to avoid involving his hospital in partisan political issues.
7. In his relationships with the medical staff of the hospital he will support that which is constructive, sound and in the interests of good hospital professional practice. He will resist and oppose that which is, in his judgment, harmful, destructive or unwise.

8. He will seek constantly to improve his professional knowledge and skill and will accept counsel and guidance.
9. Recognizing that his is a position of public trust, he will, within the limitations imposed by good judgment, legal considerations, and his hospital charter respect the rights, privileges and beliefs of others regardless of race, color or creed. He will keep confidential whatever he may learn respecting the private affairs or character of patients and their families, physicians and others with whom he is associated in the hospital. When his administrative duties bring him into conflict with any request of society or belief, he will deal with the situation with the greatest consideration, courtesy and respect for the individual.
10. He will exemplify the Golden Rule in his thinking, action and conduct.

Source: Adapted from American Hospital Association and American College of Hospital Administrators. Code of Ethics. Chicago: The Assn., 1958.

APPENDIX B

TRAINING PROGRAM OUTLINES

Appendix 1b: Management improvement training: Catholic Hospital Association.

Members: All levels of management, starting at the top, with one level at a time. Eight to twelve members per class.

Methods of instruction: Taped lecture, class discussion based on question outline. One to two sessions a week with no less than two nor no more than seven days between sessions. One and one-half to two hours per session.

Content:

1. An introduction to management and the management improvement process.
2. Group process for hospital supervisors.
3. Improving communication through listening.
4. Management principles for the supervisor.
5. Job analysis as a supervisor's tool.

Additional contemplated content:

1. Management problem solving.
2. The supervisor's role in financial management.
3. The supervisor applies work simplification and method improvement.
4. The supervisor as a trainer.

Source: Christopher, W. I. Project 1997 - training needs for hospital supervisors. St. Louis, Missouri: Catholic Hospital Assn. (Mimeo.)

Appendix 2b: Supervisory development program: St. Vincent's Hospital, New York.

Aims:

1. To increase each individual's understanding of himself, both as a person and as a supervisor.
 - a. It was hoped that each supervisor would be able to see himself more objectively as he compared his attitudes with those of other supervisors and as his handling of employees was discussed by others in the group.
 - b. As each individual discussed what he considered to be good management policies, that is, how he likes to be treated, he would be better able to understand how his methods affect workers whom he supervises.
 - c. Each supervisor would be reoriented regarding his position in the total hospital structure, with emphasis on how his work ultimately relates to patient care.
2. To improve upward and downward communication.
3. To improve attitudes through group discussion.

Members: Each group was deliberately constructed to include supervisors from various departments of the hospital. It was hoped that improved cooperation between departments would result from: this mixing of groups; a mutual discussion of problems; an awareness of the difficulties faced by each department; and an opportunity to become acquainted with supervisors from other departments on a more personal basis. Fifteen per class.

Methods of instruction: The conference technique of group discussion was the method selected for training. Attitudes and behavior change more readily when people can participate, exchange ideas, and get the impressions of others, than when a straight lecture is used. Factual material seemed less important than new insights into supervisor-employee relationships, the development of new attitudes, and the improved skill in fulfilling one's role as a supervisor.

The program was conducted in sixteen weekly meetings of one hour each.

Content:

Session 1: Administration of psychological tests for research purposes: The Wonderlic Personnel Test; How Supervise?

Sessions 2-10: Human relations.

Sessions 11-14: Organization and management.

Session 15: Communications.

Session 16: Brainstorming.

How Supervise? Test A.

Discussion: "How would you have arranged the classes if you had planned the program?" "What would have made these sessions more beneficial for potential supervisors?" "How has this course affected you?" "What else can we offer you in a development program?"

Source: U.S. Public Health Service, U.S. Department of Health, Education, and Welfare. Hospital Personnel. Div. of Hosp. and Med. Facilities. Washington, D.C.: U.S. Government Printing Office, 1964. Pp. 37-38.

Appendix 3b: Management workshop: The Memorial Hospital of Long Beach (California)

Phase 1:

Members: Department heads and supervisors with little or no formal training in management or supervisory processes. Fifteen to twenty-two members per class.

Methods of instruction: Discussion, lecture, films, case studies, and individual problem solving project (such as, scheduling, work distribution, or human relations).

Ten to twelve sessions of two hours each.

Phase 2:

Four to six weekly sessions of two hours each.

Content: Specific topics on a more intensive basis.
Such as:

1. Departmental orientation and job induction for new employees.
2. Performance appraisal interviewing.
3. Budget seminars.
4. Methods improvements.

Phase 3:

Trainers: Director of training and selected administrative and staff personnel.

Content:

Session 1: The managerial process; objectives to results.

- a. What and who is a manager?
- b. Sorting out management functions.
- c. Goals and objectives.
- d. Communications and the manager.

Session 2: Memorial's organization; financial structure.

- a. What and who is Memorial Hospital?
- b. Role of the board, medical staff, and administration.

- c. Cash position; past, present and future financing.
- d. Communications within the organization.

Session 3: Leadership problems.

- a. What is leadership?
- b. What do employees expect from leaders?
- c. What makes leadership ineffective?
- d. Leadership and communication.

Session 4: Leadership styles.

- a. Is there a best way?
- b. Strengths and weaknesses of various approaches.
- c. Adaptiveness versus consistency.
- d. How styles are communicated.

Session 5: Motivation and morale.

- a. Myths about motivation and morale.
- b. Realistic measures of morale.
- c. Individual versus group motivation.
- d. Effects of communication.

Session 6: Developing the work force. A. Selection and appraisal.

- a. The manager's role in selection.
- b. The manager's role in appraisal.
- c. How to create problems in one easy lesson.
- d. The need for realistic communication with employees.

Session 7: Developing the work force. B. Job induction and training.

- a. The importance of departmental orientation.
- b. Techniques of on-the-job training.
- c. The need for job induction manuals.
- d. Communication and follow-up.

Session 8: Problems of delegation.

- a. Why delegate?
- b. To whom and what do we delegate.
- c. Barriers to effective delegation.
- d. The importance of clear communication.

Session 9: Discipline and standards.

- a. The real meaning of discipline.
- b. When, where, and how.
- c. Formal discipline versus informal correction.
- d. Communicating values and standards.

Session 10: Innovation and management methods improvement.

- a. The need for innovation.
- b. The real security.
- c. Planned progress.
- d. Communicating change.

Session 11: Summary session.

Source: Letter to L. R. Jordan, Director, Teaching Hospital and Clinics, J. Hillis Miller Health Center, University of Florida, from H. K. Gatzke, Director of Training, The Memorial Hospital, Long Beach, California, dated May 18, 1965.

Appendix 4b: Management development: Fort Sanders Presbyterian Hospital, Knoxville, Tennessee.

Sixteen weekly sessions of one and one-quarter hours each.

Content sources: American Hospital Association and American Management Association literature.

Prior to the training program, an analysis was made of the hospital's organization and management.

Content:

Session 1: Review and discussion of hospital policies.

Subsequent sessions included the following topics:

1. Definition and composition of hospitals.
2. History of hospitals.
3. Hospitals as business institutions.
4. Leadership.
5. Planning.
6. Coordination.
7. Communication.
8. Control.
9. Human relations.
10. Authority.
11. Responsibility.
12. Accountability.
13. Work systems analysis.
14. Theory of budgeting.
15. Management of objectives.
16. Applications of automation and data processing.
17. Elements of organization.
18. Utilization of factors of production.

Source: Kulpan, J. N. Management development in practice. South. Hosps. 31:40-42 Feb. 1963.

Appendix 5b: Management development: Sharon (Pennsylvania)
General Hospital.

Department Heads:

Conferences held weekly:

Two meetings per month as routine department head meetings for communicating plans, handling problems of change, and exchanging information.

Two meetings per month for management development:

Supplement class presentations with case problems and readings in management journals.

One-third of the sessions for conceptual problems, as: motivation, employee incentives, the nature of man, organization, and delegation.

One-third of the sessions for specific leadership skills, as: conference leadership techniques, managing staffing problems, improving morale, increasing job satisfaction, and methods of discipline.

One-third of the sessions for reviews of hospital practices and policies.

Content of management development program:

1. Importance of supervisory training.
2. Establishing training needs.
3. Motivation.
4. Principles of learning.
5. Four step method of instruction.
6. Workshop on four step method.
7. Human relations problems - role playing.
8. Orientation of new employees.
9. Team nursing presentation.
10. Communications.
11. Pharmacy orientation.
12. Maintenance orientation.
13. X-ray orientation.
14. Surgery orientation.
15. Anesthesia orientation.
16. Nursing education orientation.
17. Laboratory orientation.
18. Physical therapy orientation.
19. Communications - film "More than Words."

20. Counseling employees.
21. Vacation policies review.
22. Sick leave, holidays, and workman's compensation review.
23. Grievance procedure review.
24. Fire safety - film "They Called it Fireproof."
25. Employee performance evaluation interview - role playing.
26. Disaster plan review.

Middle management:

Content:

1. Basic supervision.
2. Charting the organization.
3. Organization charting - workshop.
4. Delegation.

Source: Letter to L. R. Jordan, Director, Teaching Hospital and Clinics, J. Hillis Miller Health Center, University of Florida, from E. J. O'Meara, Administrator, Sharon (Pennsylvania) General Hospital, dated May 10, 1965.

Appendix 6b: Psychology conferences, St. Vincent's Hospital, New York.

Members: Fifteen dietary department managers.

Method of preparation: An attempt was made to develop interest in the program by printing articles in the hospital organ on such subjects as: people are different, self respect and emotional illness, authority and interpersonal relations, the unconscious in human behavior, total personality of the patient, and human relations, and prejudice.

Methods of presentation: Class discussion, case problems, role playing, and recording of training exercises.

Twelve weekly meetings of ninety minutes each.

Faculty: From a university psychology department.

No rigid outline was prepared in advance, but the general intent was to present information on human relations.

Content:

Session 1:

1. Introduction to training in human relations. Outline general procedures to be followed. Emphasis on the responsibility of the leader in developing his subordinates. Ask all members to be open minded and respectful of the opinions of all participants.
2. Results of a pretraining evaluation form used to determine present status of relationships between participants and their superiors.
3. Role playing was introduced in either the first, second, or third meetings, depending on the groups.

Session 2:

Achieving emotional insight - continuation of session 1.

Session 3:

1. Interdependence of people.
2. Dignity of the individual.
3. Rights and duties.
4. Need for recognition.
5. Preservation of self esteem.
6. Need for advancement.

Session 4:

1. Assuming problems of interpersonal relations are due to misunderstandings.
2. Need for looking at causes and sources of misunderstanding.

Session 5:

1. Dynamic evaluation of leadership.
2. Need for respect.

Session 6:

1. Authority, command, and obedience.
2. Superior-subordinate relations.
3. Emotional security through approval.
4. Discipline and rewards.
5. Need for independence.

Session 7:

1. Causes of behavior and individual differences.
2. Problem analysis.
3. Intelligence.
4. Selection; placement.
5. Cultural differences.
6. Bases of bias and prejudice.

Session 8:

1. Personality and its development.
2. Restatement of the goals of the training program.

Session 9:

1. Behavior results of various motives and emotions.
2. Motivation and emotions.

Session 10:

Defense mechanisms.

Sessions 11 and 12:

1. Interviewing and counselling.
2. Use of discussion, tape recorder, and role playing.
3. Emphasis on being permissive.

Source: Coville, W. J. Psychology conferences re-make departments. Hosp. Prog. 36:78-80 Jul 1955; 92-94 Aug 1955; 90-92 Sept 1955; 96-99 Oct 1955.

APPENDIX C

EVALUATION OF MANAGEMENT TRAINING

Incourse evaluation of progress

Look for:

- Increased knowledge.
- Acquired skills.
- Changes in expressed attitudes.
- Indications of interest.
- Degree of participation.
- Acceptance of training given.

Approaches:

- Equivalent forms of the same test before and after training.
- End of training test based on course content material.
- Attitude questionnaire before and after training.
- Questionnaire at end of course asking for participants' appraisal of the course.
- Attendance record.
- Amount of participation.
- Extent to which trainees bring in questions and problems.
- Trainee-observer at each session to report on group effectiveness.
- Reports by the training director.
- Reports of outside observers.
- Interviews with trainees' superiors about changes in behavior.
- Direct observation after training.
- Listening to trainees.

Positive indicators:

- Significantly higher test scores at the end of training.
- Good performance on information test.
- Expressed favorable view of course.
- Good attendance.
- Participation in discussions by all learners which is intense, thoughtful.
- Trainees bring in real problems that are important to them.

Initial indifference to training changing to strong interest and enthusiasm during the course of the program.
 Trainees indicating their superiors need the training.
 Favorable reports from participants, observers, superiors.
 Observations that trainees are applying what is learned in class to their jobs.

Impact of training on the job

Look for:

Transfer of instruction into changed behavior and attitudes on the job.
 Extent and duration of such changes.
 Whether changes are positive, contribute to efficiency, production, and employee satisfaction.
 Progress toward meeting training objectives.

Approaches:

Asking trainees at periodic intervals following training whether they have benefited.
 Completion of questionnaires at intervals after training.
 Interviews or questionnaires to obtain concrete illustrations of behavior or attitude changes by reporting specific incidents.
 Attitude surveys.
 Ask trainees' subordinates whether there have been any changes in their superiors, with specific instances of change.
 Superiors of trainees are asked for evidences of change.
 Post training meetings with trainees to review progress.
 Direct observation of participants on the job.
 Analysis of records, such as turnover, grievances, production, waste, patient complaints, training time of employees, etc.
 Review of merit ratings.
 Comparison of those receiving training with those who have not, no production, cooperation, etc.
 Job measurement techniques.
 Review of performance standards.

Refer to "need units" developed during initial
need survey to see if they are still present,
have been reduced, or have been solved.

Source: U.S. Civil Service Commission. Training
the Supervisor. Personnel Series No. 4. Washington, D.C.:
U.S. Government Printing Office, 1956. Pp. 100-104.

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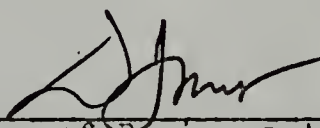
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BIOGRAPHICAL SKETCH

Harold C. White was born in Colville, Washington, March 9, 1931. He attended public school in Colville and Walla Walla, Washington, and was graduated from Pendleton (Oregon) High School in 1949. After a six-year interruption of his formal education, during which time he was active in a family automobile dealership in eastern Oregon and Washington, Mr. White received his B.S. with a major in Business Administration in 1959, and his M.S. with major in Business Administration in 1960, both from the University of Oregon, Eugene. From 1960 to 1963, he was an instructor of management and research associate in the College of Business Administration, Idaho State University, Pocatello. While attending the University of Florida, he has been research assistant at the Teaching Hospital and Clinics for two years, and Interim Instructor in Management, College of Business Administration for one year. He has held memberships in a number of student, civic, and professional organizations, including membership on a hospital board of trustees. He has authored one article in marketing, co-authored one in management development, and co-edited two bibliographies in the hospital field. Mr. White is married to the former Lucile Mabel Angell of Walla Walla, and they have one daughter, Angela, born June 4, 1953.

This dissertation was prepared under the direction of the chairman of the candidate's supervisory committee and has been approved by all members of that committee. It was submitted to the Dean of the College of Business Administration and to the Graduate Council, and was approved as partial fulfillment of the requirements for the degree of Doctor of Philosophy.

June 21, 1966

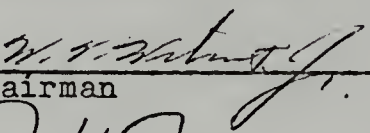


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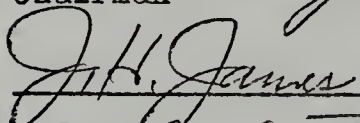


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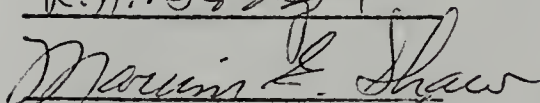
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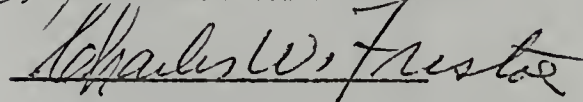
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